

November 20, 2019



Robert Norwood
Director, Records Management Compliance
University of Texas Medical Branch – Galveston
301 University Blvd
Galveston, TX 77555-0918

Dear Mr. Norwood,

Amendment 6 to your agency's 7th recertification of the records retention schedule is approved for use as of 11/6/2019, 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.

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

www.tsl.texas.gov

Commission Chairman
Michael C. Waters

Members
David C. Garza
F. Lynwood Givens
Larry G. Holt
Arthur T. Mann
Darryl Tocker
Martha Wong

Director and Librarian
Mark Smith

Assistant State Librarian
Gloria Meraz

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

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 723
 Agency Name University of Texas Medical Branch - Galveston

(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 *Robert Norwood*
 Name (Print or type) Robert Norwood
 Date 8/7/2019 8/7/2019

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Signature _____
 Name (Print or type) _____
 Date _____

Not Required at This Time

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

Signature *Gloria Meraz*
 Name (Print or type) Gloria Meraz
 Date 11/6/19

Cert/Recert No. 7 Amendment No. 6

CAUTION

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

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





STATE OF TEXAS Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form

1. Page 1 of 42

2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 1015 University Conferences And Events / University Events

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
3.4.006	100215	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).		9	100215	D
1.1.043	100222	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1					N
4.1	100408	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+7	0	FE+7			12	100408	D
5.3	100417	Procurement Card Records A record of purchases made with a University of Texas Medical Branch Procurement Card. This records series may include but is not limited to: Procurement Card Transaction Log, original charge slip, sales receipt, packing slip, invoice, or any other information related to the purchase.	FE+3	0	FE+3					N
5.1.004	101318	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.		43	101318	D
5.3	101416	Procurement Card Records A record of purchases made with a University of Texas Medical Branch Procurement Card. This records series may include but is not limited to: Procurement Card Transaction Log, original charge slip, sales receipt, packing slip, invoice, or any other information related to the purchase.	FE+3	0	FE+3					N

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
 AV - Administrative Value

CE - Calendar Year End LA - Life Of Asset PM - Permanent
 FE - Fiscal Year End MO - Months US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
 O - Review Required Before Disposal

Amendment Codes (Field 12)

N - New D - Deleted
 C - Changed



STATE OF TEXAS Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form

1. Page 2 of 42

2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 2031 BOF / EHS / Occupational Safety

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
5.3	101508	Procurement Card Records A record of purchases made with a University of Texas Medical Branch Procurement Card. This records series may include but is not limited to: Procurement Card Transaction Log, original charge slip, sales receipt, packing slip, invoice, or any other information related to the purchase.	FE+3	0	FE+3					N
5.4	203116	Occupational Safety Inspections This series documents safety and other inspections conducted on equipment, environment, or university facilities such as food preparation areas, research labs, industrial areas, or any other area where there is a general safety concern. Records may include but are not limited to: inspection sheets that show date of inspection, notation of violations, suggested corrective measures, reports acknowledging compliance with regulations, authorizing signatures, and any related supporting documentation and correspondence.	AC+3	0	AC+3	AC = Inspection superseded, deficiency corrected, or research terminated.		A4-12	203116	C
5.4	203118	Occupational Exposure Monitoring This series documents employee exposure to hazardous materials or agents. Records may include but are not limited to: noise monitoring reports; chemical exposure monitoring; personnel dosimetry records; indoor air quality assessments; hygiene monitoring; or any other type of monitoring that is conducted to test an individual's exposure to hazardous conditions or materials.	AC+75	0	AC+75	AC = Termination of employment.		A4-13	203118	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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STATE OF TEXAS Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form

1. Page 3 of 42

2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 2032 BOF / EHS / Biological Safety Program

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
5.4	203123	Lead Compliance Records This series documents the efforts to monitor levels of lead in water, paint, and other sources to ensure individuals are not exposed to levels higher than the required action level. The records may include but are not limited to: sampling data and analyses, background information, testing method and device, assessments, reports, surveys, letters, evaluations, results, state determinations, and other information required by the Environmental Protection Agency (EPA) to demonstrate compliance with requirements for lead monitoring, testing, and results in water, paint, and other sources. Also includes objective data and calculations that demonstrate that employees have not been exposed to lead at or above the action level.	12	0	12	12 TAC 295.212(h). 40 CFR 141.91. CAUTION: If the result of monitoring and testing confirms that there has been an exposure incident, SEE Records Series 307108 - Accident Reports and Associated Documentation / Exposures and 307108 - Employee Health Records.				N
5.4	203124	Occupational Safety Incident Reports This series documents incidents that involve employee safety concerns or exposure to hazardous agents. Records may include but are not limited to: incident reports, witness documentation or interview, evidence of incident, date of incident, and any additional supporting documentation or correspondence related to the incident.	AC+75	0	AC+75	AC = Termination of employment				N

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2032 BOF / EHS / Biological Safety Program									
2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2032 BOF / EHS / Biological Safety Program									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
5.4	203220	Select Agents and Toxins Records Records may include but are not limited to: inventories for select agents and toxins held in long-term storage. This includes: name and characteristics, quantity, date of acquisition and source, storage location, tracking of time of movement and by whom, which agent used, purpose of use, quantity used, and by whom. Records also must include date, sender, and recipient for intra-entity transfers. Also includes any records that document the shipment and receipt of select agents or toxins. If destroyed, include quantity of toxin destroyed, date and by whom, a list of all individuals granted access approval from the Health and Human Services secretary or administrator, information about all entries into areas containing select agents (must include name of individual, name of escort, date and time), and written explanations of any discrepancies.	AC+3	0	AC+3	AC = Until superseded, or select agents and toxins are destroyed or removed from inventory. CAUTION: Does not include export shipping records. SEE Records Series for records that involve exporting. 42 CFR 73.17(c). 7 CFR 331.17(c). 9 CFR 121.17(c). 42 CFR 73.15.		A2-16	203220	C	
5.4	203225	Hazardous Material Shipping Records This series documents records created by and for all parties involved in the shipping or exporting of hazardous materials including biologicals, exempt human/animal specimens, Category A and B infectious substances, etc. This series may include but is not limited to: export control documents, Bill of Landing, financial records of shipment, boycott documents, shippers declarations, shipping receipts, transportation documents, certificates of origin, compliance documents, or any other correspondence or supporting documentation related to the shipment.	5	0	5	CAUTION: SEE Records Series 203220 for retention requirements for shipping select agent and toxins. SEE Records Series 203512 for retention requirements for shipping hazardous waste. 15 CFR 30.10(a). 15 CFR 762.6. 22 CFR 122.5. 49 CFR 172.201(e). 49 CFR 175.30(a)(2). IATA Regulations.				N	

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2033 BOF / EHS / Radiation Safety																		
2. Agency Code		5. Agency Item Number		6. Record Series Title			7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type					
723		203226					Agency	Storage	Total	9. Remarks			Pg No.	AIN						
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title										7. Retention Period	8. Archival	9. Remarks	10. 106 No.	11. Current Schedule	12. Amend. Type			
5.4	203226	Dual Use Research Concern (DURC) Records Dual Use Research of Concern (DURC), or life sciences research that, based on current understanding, can be reasonably anticipated to provide knowledge, information, products, or technologies that could be directly misapplied to pose a significant threat with broad potential consequences to public health and safety, agricultural crops and other plants, animals, the environment, material, or national security. This series covers all documents that should be evaluated by institutions for possible risks, as well as benefits, in all domains, to ensure that risks are appropriately managed and benefits realized. Records may include but are not limited to: Identification that research involves one or more of the 15 agents or toxins; assessment of agents or toxins; Principal Investigator (PI) and Institutional Review Entity (IRE) working papers; institutional review documents for assessing if research uses one or more of the 15 toxins/agents; determination and assessment of the seven effects; DURC determination; risk assessment; identification of anticipated benefits; risk mitigation plan; evaluation and review of mitigation plan; results notification of the review by the National Institute of Health (NIH) or United States Government (USG) funding agency; DURC training; IRE reviews of active risk mitigation plans; notification of change in status to a DURC project and details of change; and any other supporting information or related correspondence.										AC	0	AC	AC = Term of the research grant or contract complete plus three years, or eight years, whichever is longer. United States Government Policy for Institutional Oversight of Life Sciences Dual Use Research of Concern.					N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	



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Form SLR 105C must accompany this form

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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2038 University Police
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	106 No.	
5.4	203319	Unescorted Access Authorization - Approved This series documents the process of ensuring the physical protection of category 1 and 2 radioactive materials and the areas on campus that hold them. Records may include but are not limited to: certification that each individual employee's identification was properly reviewed and all of the documents that were used for that review; trustworthy and reliability report; fingerprint reports; criminal history records; background checks; any other reference/history check; verification of approval from a service provider licensee; confirmation of receipt for the right to correct background check notice; background or criminal history check consent form; any other necessary supporting documentation or related correspondence.	AC+3	0	AC+3	AC = Date the individual no longer requires unescorted access. 25 TAC 289.252(mm). 10 CFR Part 37. CAUTION: At a minimum, individual's access should be reinvestigated every 10 years.				N
5.4	203320	Unescorted Access Authorization - Denied This series documents the denied access authorizations to category 1 and 2 radioactive materials and the areas on campus that hold them. Records may include but are not limited to: Certification that each individual employee's identification was properly reviewed and the documents used to review; trustworthy and reliability report; fingerprint reports; criminal history records; background checks; any other reference/history check; confirmation of receipt for the right to correct background check notice; background or criminal history check consent form; any other necessary supporting documentation or related correspondence.	AC+3	0	AC+3	AC = Date access denied. 25 TAC 289.252(mm). 10 CFR Part 37.				N
5.4	203321	Approved Unescorted Access List To document a current list of all employees who have been approved and granted authorization to have unescorted access to category 1 and 2 radioactive materials and the areas where they are located. Records include a list of authorized staff.	US+3	0	US+3	10 CFR 37.23(h)(3).				N

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STATE OF TEXAS Records Retention Schedule Amendment

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Form SLR 105C must accompany this form

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2078 University Conferences And Events / Catering									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	106 No.		Pg No.
1.1	203843	Professional Committee Working Files Internal and external professional committees and work groups. Includes notes, work papers, reference materials, research, committee appointments, charters, and any other supporting documentation.	AC	0	AC	<p>AC = Termination of service on committee, disbanding of committee, or records of committee no longer administratively valuable to the university.</p> <p>CAUTION: If the committee is funded by a grant, records must be retained in accordance with individual guidelines of the grant or cooperative agreement.</p>				N	
1.3.001	203844	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	AC+2		<p>AC = Until superseded or obsolete.</p> <p>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).</p>				N
1.3.002	203845	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV		O				N

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STATE OF TEXAS Records Retention Schedule Amendment

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1. Page 8 of 42

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3017 Nursing Program Development								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
5.3	207813	Procurement Card Records A record of purchases made with a University of Texas Medical Branch Procurement Card. This records series may include but is not limited to: Procurement Card Transaction Log, original charge slip, sales receipt, packing slip, invoice, or any other information related to the purchase.	FE+3	0	FE+3					N
3.4.006	300713	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	1	4	5	40 TAC 815.106(i). 42 CFR 489.20(r)(1). Retention is based on department policy.		335	300713	C
	300728	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	5	0	5	42 CFR 489.20(r)(1). Retention is based on department policy.				N
4.1.001	300822	Accounts Payable Information This series documents an agency's expenditures and purchases. Records may include but are not limited to: departmental purchase orders, contract release orders, balance sheets, bills, invoices, invoice vouchers, journal voucher/entry forms, and related documentation and correspondence.	FE	9	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		A2-44	300822	C

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STATE OF TEXAS Records Retention Schedule Amendment

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Form SLR 105C must accompany this form

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3017 Nursing Program Development									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
3.3.030	301721	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	0	US+2	CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.				N	
4.5.002	301722	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				N	
4.7	301723	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				N	

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STATE OF TEXAS Records Retention Schedule Amendment

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Form SLR 105C must accompany this form

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 3034 Hospital Transportation Service

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
	301724	Placement Records This series documents the written reference history of a student to be forwarded to potential employers or professional schools. Records may include but are not limited to: credentials records showing where, when, and cost of letters sent; release of information form which includes a listing of the reference letters to be sent; reference letters; student teaching reports; professional program certificates; personal data sheets and resumes; College Interview Forms; and related documentation and correspondence.	AC+2	0	AC+2	AC = After placement.				N
4.6.002	303011	Reconciliations	FE+3	0	FE+3			375	303011	D
1.1.038	303016	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.				N
5.1.014	303406	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	0	US+1			378	303406	C
3.4.005	303407	Overtime Schedules	2	0	2			379	303407	D
3.4.007	303409	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3			379	303409	D

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STATE OF TEXAS Records Retention Schedule Amendment

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Form SLR 105C must accompany this form

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3036 Health Information Management									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
4.1.002	303410	Billing Detail Provides itemized billing record for services rendered.	FE	9	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.		379	303410	D	
4.5.002	303411	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.		379	303411	C	
5.1.003	303412	Delivery Reports	2	0	2			379	303412	D	
1.1.064	303413	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	0	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.				N	

Retention Codes (Field 7)

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 US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
 O - Review Required Before Disposal

Amendment Codes (Field 12)

N - New
 D - Deleted
 C - Changed



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3036 Health Information Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	106 No.	
	303626	Patient Records / Acquired This records series consists of patient records obtained in the acquisition of a facility, hospital or clinic.	AC+10	0	AC+10	AC = Last date of service. If minor, when patient turns 21, or AC+10, whichever longer. 22 TAC 165.1 and Texas Government Code Section 441.187.		391	303626	C
	303628	Unit Medical Record - Electronic This records series consists of original patient care documents for every patient seeking care or service from The University Of Texas Medical Branch. The Unit Medical Record (UMR) is designed to contain written interpretations of all significant clinical information gathered for a given patient, whether as an inpatient, outpatient, or emergency care patient. The UMR may contain information listed in the Inpatient and Outpatient Filing Order Guides maintained by the Health Information Management department. Inpatient Filing Order may include the following examples: Deficiency Sheet, Data Sheet, Discharge Summary, Discharge Progress Note, Record of Sensitivity, Final Discharge Note; Physician Orders, Admission documents; History and Physical documents; Surgical records; Progress Notes; Consultation Reports; Laboratory and ancillary reports; X-ray interpretation records; interpretations of the EEG, EKG and fetal heart monitor tracings; Nurses Notes; Other Records not covered in any other section for the Inpatient Filing Order Guide; Consent Forms; and Advance Directives, for example, Medical Power of Attorney, Directive to Physicians Out of Hospital.	PM	0	PM	CAUTION: This records series is only for records being maintained in the Electronic Medical Record. SEE Records Series 303631 for all UMR information maintained in a paper format.		393	303628	C

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3058 Clear Lake Campus / Laboratory									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
	303631	<p>Unit Medical Record - Paper</p> <p>This records series consists of original patient care documents for every patient seeking care or service from The University Of Texas Medical Branch. The Unit Medical Record (UMR) is designed to contain written interpretations of all significant clinical information gathered for a given patient, whether as an inpatient, outpatient, or emergency care patient.</p> <p>The UMR may contain information listed in the Inpatient and Outpatient Filing Order Guides maintained by the Health Information Management department.</p> <p>Inpatient Filing Order may include the following examples: Deficiency Sheet, Data Sheet, Discharge Summary, Discharge Progress Note, Record of Sensitivity, Final Discharge Note; Physician Orders, Admission documents; History and Physical documents; Surgical records; Progress Notes; Consultation Reports; Laboratory and ancillary reports; X-ray interpretation records; interpretations of the EEG, EKG and fetal heart monitor tracings; Nurses Notes; Other Records not covered in any other section for the Inpatient Filing Order Guide; Consent Forms; and Advance Directives, for example, Medical Power of Attorney, Directive to Physicians Out of Hospital.</p>	AC+10	0	AC+10	<p>AC = Date of last treatment for adults. If minor, records must be held until the child turns 21 or 10 years after the date of last treatment, whichever longer.</p> <p>22 TAC 165.1(b).</p> <p>42 CFR 422.504(d).</p> <p>CAUTION: This records series is only for records being maintained in the Paper Medical Record. SEE Records Series 303628 for all UMR information maintained in an electronic format.</p>				N	
1.1.065	305204	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>	437	305204		D	

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 3058 Clear Lake Campus / Laboratory

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	305801	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.				N
1.1	305802	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.				N
1.1	305803	Professional Committee Working Files Internal and external professional committees and work groups. Includes notes, work papers, reference materials, research, committee appointments, charters, and any other supporting documentation.	AC	0	AC	AC = Termination of service on committee, disbanding of committee, or records of committee no longer administratively valuable to the university. CAUTION: If the committee is funded by a grant, records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.007	305804	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	0	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 University 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.				N
1.1.008	305805	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.057	305809	<p>Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series.</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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>			N		
1.1.063	305810	<p>Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1				N		
1.1.067	305811	<p>Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.</p>	3	0	3	O	<p>ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>		N		

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3058 Clear Lake Campus / Laboratory									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.069	305812	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	0	1					N	
1.1.070	305813	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			N	
3.3.020	305814	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					N	
3.3.027	305815	Aptitude and Skills Tests Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US+2	0	US+2		29 CFR 1602.49 (State Universities). CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.			N	
3.3.028	305816	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	0	2		29 CFR 1602.49 (State Universities).			N	
3.4.006	305817	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4		40 TAC 815.106(i).			N	

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 3058 Clear Lake Campus / Laboratory

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
3.4.007	305818	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					N
4.2.005	305819	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				N
4.5.002	305820	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				N
5.1.004	305821	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				N
5.2.005	305822	Calibration Records (Equipment or Instrument)	10	0	10					N

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 3058 Clear Lake Campus / Laboratory

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
5.2.008	305823	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.				N
5.2.009	305824	Equipment Inventory Detail Report Forms Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE+3	0	FE+3					N
5.2.010	305825	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				N
5.2.011	305826	Equipment Warranties	AC+1	0	AC+1	AC = Expiration of warranty.				N
5.4.007	305827	Hazardous Materials Training Records Records of training given to employees in an agency hazard communications program.	5	0	5	Texas Health and Safety Code, 502.009(g).				N
5.4.009	305828	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				N

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3058 Clear Lake Campus / Laboratory									
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5.4.010	305829	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				N	
	305830	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3						N
	305831	Laboratory Test Requests This records series consists of all requisitions authorizing a laboratory to perform tests on a sample. This series may include but is not limited to: the patient's name or identification number, the name or identifier of who ordered the test, the date and time of the specimen collection, the source of the specimen, the patient's gender and age or date of birth, physician's signature, and pertinent clinical information. Test results received from external reference labs may be included.	7	0	7						N
	305832	Quality Assurance Records / Blood Bank This records series includes the management and effectiveness review of the blood bank quality system. Records may include but are not limited to: organization, resources, equipment, supplier and customer issues, process control, documents and records, deviations non conformances and adverse events, internal and external assessments, process improvement through corrective and preventive action, facilities and safety, and related correspondence.	10	0	10		Retention is based on American Association of Blood Bank (AABB) and Standards for Blood Banks and Transfusion Services (BB/TS), Current Edition reference standard 6.2c - Retention of Donor / Unit Records.				N

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 3058 Clear Lake Campus / Laboratory

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
	305833	Licensure Records / Blood Bank This series documents the professional and regulatory issuance of credentials to facilities providing services within the blood center. This series may include but is not limited to: license applications, FDA482, FDA356H, and FDA356.7 and related correspondence.	PM	0	PM					N
	305834	Quality Assurance Records / Health Services This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections, reports by the staff, quality assurance committee notes, staff reviews and related correspondence.	FE+3	0	FE+3					N
	305835	Final Laboratory Test Reports This records series consists of the legally reproduced copies of each test result and preliminary reports on pathology testing. Documentation includes all the information recorded on the test requisition plus the specimen's accession number, the date and time the lab received the specimen, the condition and disposition of samples which do not meet the lab's acceptance standards, the records and dates of performance of each step in the patient testing leading to and including the final report.	10	0	10	42 CFR 493.1101.				N
	305836	Laboratory Case Log The records series consists of a log of specimens received daily from patients which records the accession number, name of patient, requesting doctor, collection date, patient type, birth date, patient number.	2	0	2					N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
	305837	Processing Records: Blood Bank This records series consists of blood bank records which monitor the process by which blood products are made available for use. Processing records include: blood processing, including the results and interpretation of all infectious disease tests and re-tests; component preparation, including all relevant dates and times; separation and pooling of recovered plasma; the centrifugation and pooling of source plasma; and the labeling of the product including the initials of the processor.	10	0	10					N
	305838	Solid Organ And Tissue Tracking Records Records related to the receipt and disposition of all deceased donor and external living non-university donor organs and tissues transplanted within the hospital. The record may include but is not limited to: solid organ or tissue type, the donor id number, the name and license number of the procurement or distribution facility which supplied the tissue/organ, recipient name and id number, name of transplanting doctor, date the organ/tissue was received by the hospital, and the date of the transplant. This information may be provided quarterly to an organ or tissue procurement service.	30	0	30	O				N
	305839	Requests For Blood Component and Lab Tests This series documents physician orders for laboratory tests in order to obtain blood components. This series may include but is not limited to: name of patient, unique identifiers, date; physician's signature, test(s) ordered and results, and cord blood testing.	10	0	10		Retention is based on American Association of Blood Bank (AABB) and Standards for Blood Banks and Transfusion Services (BB/TS), Current Edition reference standard 6.2b and 21 CFR 606.160.			N

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RMAN: 3139 Ambulatory Operations

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
	305840	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE+5	0	FE+5					N
	305841	Serologic Problems This records series includes but is not limited to: records related to transfusion reactions, antibody workups, special transfusion requirements, and difficulty in blood typing.	10	0	10	Retention is based on American Association of Blood Bank (AABB) and Standards for Blood Banks and Transfusion Services (BB/TS), Current Edition reference standard 6.2c - Retention of Donor / Unit Records.				N
4.6.002	308819	Reconciliations	FE+3	0	FE+3			542	308819	D
5.1.014	309507	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	0	US+1			557	309507	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End LA - Life Of Asset PM - Permanent FE - Fiscal Year End MO - Months US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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STATE OF TEXAS Records Retention Schedule Amendment

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3139 Ambulatory Operations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.006	313902	Complaint Records Complaints received by the agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+2	0	AC+2			629	313902	D
1.1.023	313906	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I		630	313906	D
1.1.038	313908	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC			A3-154	313908	D
1.1.070	313916	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O		633	313916	D

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Amendment Codes (Field 12)

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 3139 Ambulatory Operations

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
2.1.009	313919	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	0	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		A3-154	313919	D
3.3.027	313921	Aptitude and Skills Tests Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US+2	0	US+2	29 CFR 1602.49 (State Universities). CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.		634	313921	D
3.3.028	313922	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	0	2	29 CFR 1602.49 (State Universities).		634	313922	D

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3139 Ambulatory Operations									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
3.3.030	313923	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	0	US+2	CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.		635	313923	D	
3.4.006	313924	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).		635	313924	D	
4.1	313925	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+7	0	FE+7			635	313925	D	
4.2.002	313926	Cash Receipts Includes receipts for fees (permits, licenses, renewals, etc.)	FE+3	0	FE+3			635	313926	C	
4.2.003	313927	Daily Cash Receipts Logs	FE+3	0	FE+3			635	313927	D	
5.2.008	313930	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.		A3-154	313930	D	

Retention Codes (Field 7)

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Amendment Codes (Field 12)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3139 Ambulatory Operations									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
5.2.010	313931	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.		636	313931	D	
5.2.011	313932	Equipment Warranties	AC+1	0	AC+1	AC = Expiration of warranty.		A3-154	313932	D	
5.2.026	313933	Facilities Reservation Logs Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.	2	0	2			636	313933	D	
5.3.007	313934	Bid Documentation - FY16 Or Later Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms or decision not to proceed with bid.		A3-155	313934	D	
5.3.009	313935	Requests for Information Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC	0	AC	AC = Decision not to proceed with the procurement. CAUTION: If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with item number 5.3.007.		A3-155	313935	D	

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3139 Ambulatory Operations									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
5.4.009	313937	Workplace Chemical Lists	30	0	30			637	313937	D	
	313938	Source Data / Medical <small>This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.</small>	FE+1	4	FE+5			637	313938	D	
1.1	313939	Accreditation Records <small>This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.</small>	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.	A1-72	313939	D	
5.3.007	313940	Bid Documentation - FY15 or Earlier <small>Includes bid requisitions / authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation / evaluations associated with a contract executed, renewed, or amended on or before August 31, 2015</small>	FE+3	0	FE+3			A3-155	313940	D	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4014 AS / Graduate School of Biomedical Sciences									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
5.3.007	313941	Bid Documentation - Unsuccessful Bids This record series consists of information relative to bids that were not awarded. These records may include but is not limited to: legal advertisements, requests for proposal, technical specifications, invitations to bid, bid tabulations, bid responses and related correspondence.	AC+2	0	AC+2	AC = Date of notification of denial or date of withdrawal, as applicable.		A3-155	313941	D	
3.4.006	400107	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).		743	400107	D	
3.4.007	400108	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3			743	400108	D	
1.1	400214	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					N	
1.1	401401	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US	3	US+3	O ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.		792	401401	D	

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4014 AS / Graduate School of Biomedical Sciences

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
3.3.023	401406	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	0	FE+3			793	401406	D
	401412	Admissions Records / Accepted This series documents the application process for individuals seeking admission to the institution or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC	5	AC+5	AC = Graduation or date of last attendance.		794	401412	D
	401413	Admissions Records / Denied This series documents the applications process for individuals that have been denied admission to the University or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC	1	AC+1	AC = After application term.		795	401413	D

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4014 AS / Graduate School of Biomedical Sciences

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	106 No.	
	401420	International Student Records / Accepted This series documents institution assistance to international students who have been admitted to academic programs. These records primarily concern institution admissions, immigration issues, and other non-academic matters. Records may include but are not limited to: copies of visas, scholarship information, institution admissions forms, graduate school applications, transcripts of previous college work, grade reports of prior college work, grade reports from institutional courses, international student advisors' notes, degree completion certificates, explanations for student withdrawals, recommendations and evaluations of students, and related documentation and correspondence.	AC	7	AC+7	AC = After last enrollment.		797	401420	D
	401421	International Student Records / Denied This series documents institution assistance to international students who have failed to enroll in academic programs. These records primarily concern institution admissions, immigration issues, and other non-academic matters. Records may include but are not limited to: copies of visas, scholarship information, institution admissions forms, graduate school applications, transcripts of previous college work, grade reports of prior college work, grade reports from institutional courses, international student advisors' notes, degree completion certificates, explanations for student withdrawals, recommendations and evaluations of students, and related documentation and correspondence.	AC	2	AC+2	AC = After term.		797	401421	D

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4015 Office Of The Executive Vice President And Provost Dean / School Of Medicine

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
	401422	Name Changes Records This series documents students' or applicants' name changes reported to the admissions or registrar's offices by students. Records may include but are not limited to: letters requesting change in name; name change forms; lists or reports of students with changed names; and related documentation and correspondence.	PM	0	PM			798	401422	D
	401429	Theses and Dissertations Records This series documents the completion and academic acceptance of graduate theses and dissertations presented to colleges in fulfillment of requirements for graduate degrees. This series includes final and accepted copies of theses and dissertations.	AC+6	0	AC+6	I AC = After degree awarded.		800	401429	D
1.1	401432	Committee Election and Appointment Records This series documents the appointment to and the election of faculty to committees. This series may include but is not limited to: ballots, tabulations, letters of appointment, committee membership rosters, and related documentation and correspondence.	AV	0	AV					N
1.1	401502	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.		A1-86	401502	D

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4015 Office Of The Executive Vice President And Provost Dean / School Of Medicine									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1	401505	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV				802	401505	D
1.1.043	401511	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				A3-182	401511	D
5.1.014	401516	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	0	US+1				805	401516	C
3.1.018	401522	Grievance Records Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC+2	0	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.			A1-87	401522	D
3.4.006	401523	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).			807	401523	D
5.1.004	401527	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.			808	401527	D

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4024 Office Of Clinical Simulation

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
5.2.008	401528	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.		A3-182	401528	D
	401530	Program And Course Development Records This records series documents the development, approval, and the implementation of undergraduate, graduate, and professional degree programs and any other reorganizations or changes to established programs. Records may include but are not limited to: working papers, final reports, related course descriptions, outlines, sample examinations, textbook lists, etc.	6	0	6	O		808	401530	D
	401532	Student Grievance Records This series documents grievances brought forward by students against the institution which do not result in litigation. Grievances may pertain to academic issues, housing, affirmative action and equal opportunity, student conduct, and other issues. Records may include but are not limited to: notices of grievance, informal discussion notes, grievance responses, formal hearing notes (including audio tapes), final summary statements, settlement agreements, appeals documentation, and related records.	AC+3	0	AC+3	AC = After resolution.		809	401532	D
	401636	Student Misconduct Records This series is used to provide a record of accusations of misconduct brought forward by faculty, students, and individuals external to the institution relating to student misconduct. Records may include but are not limited to: accusation statements, inquiry committee findings, copies of subpoenas, attorney notes, court judgments, and related correspondence.	AC+6	0	AC+6	AC = After completion of investigation.		819	401636	C

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4089 OB/GYN / Maternal Fetal Medicine / Ultrasound									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
	404116	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE+1	4	FE+5			883	404116	D	
5.2.010	406213	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.		967	406213	D	
4.5.002	406216	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				N	

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End LA - Life Of Asset PM - Permanent
FE - Fiscal Year End MO - Months US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal

Amendment Codes (Field 12)

N - New D - Deleted
C - Changed



STATE OF TEXAS Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form

1. Page 39 of 42

2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4094 SOM / Ophthalmology And Visual Sciences
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.067	408911	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O				N
1.2.003	408912	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	0	AC+1					N
5.1.004	408913	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	0	US					N
5.1.004	409409	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	0	US			1056	409409	D
5.2.010	409410	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA			1057	409410	D

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End LA - Life Of Asset PM - Permanent
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Amendment Codes (Field 12)

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C - Changed



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4198 Office of County Affairs									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
	409418	Ophthalmology Patient Records Professional examinations conducted by a medical doctor (MD) or osteopathic doctor (DO) who specializes in eye and vision care. Includes eye exams, diagnosis and treatment of disease, medication prescriptions, eye glasses and contact lense prescriptions, and performing eye surgery.	AC+7	0	AC+7	AC = Last date of service, or if minor, when patient turns 21, whichever longer. 25 TAC 37.23. CAUTION: These records are maintained separately from item number 8.1.001.		A3-224	409418	D	
	411313	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE	5	FE+5			A4-88	411313	C	
4.7	413511	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC	15	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.		1207	413511	C	

Retention Codes (Field 7)

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Archival Codes (Field 8)

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Amendment Codes (Field 12)

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C - Changed



STATE OF TEXAS Records Retention Schedule Amendment

SLR 122

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4200 SOM / Sealy Center For Environmental Health And Medicine

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	419833	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O				N
1.1	419834	Professional Committee Working Files Internal and external professional committees and work groups. Includes notes, work papers, reference materials, research, committee appointments, charters, and any other supporting documentation.	AC	0	AC					N
1.1	419835	Training Attendance And Evaluation Records Includes registration, class rosters, class evaluations, schedules/agendas, sign-in sheets, and other records that document the administration of training and offered for internal employees and external individuals we regulate and serve.	FE+3	0	FE+3					N

Retention Codes (Field 7)

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Amendment Codes (Field 12)

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4200 SOM / Sealy Center For Environmental Health And Medicine

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
4.1.001	420008	Accounts Payable Information This series documents an agency's expenditures and purchases. Records may include but are not limited to: departmental purchase orders, contract release orders, balance sheets, bills, invoices, invoice vouchers, journal voucher/entry forms, and related documentation and correspondence.	FE	9	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		1376	420008	D
4.1.002	420009	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.		1377	420009	D

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End LA - Life Of Asset PM - Permanent FE - Fiscal Year End MO - Months US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal		Amendment Codes (Field 12) N - New D - Deleted C - Changed
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January 15, 2019



Mr. Robert Norwood
Director, Records Management Compliance
University of Texas Medical Branch at Galveston
301 University Blvd.
Galveston, TX 77555-0918

Re: Agency records retention schedule amendment approved for use.

Dear Mr. Norwood:

Amendment 5 to your agency's 7 recertification of your records retention schedule is approved for use as of January 11, 2019. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. 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 regulations (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, Gina Cervantes at 512-463-6623 or gcervantes@tsl.texas.gov.

Sincerely,

A handwritten signature in black ink, appearing to read "CK", written over a white background.

Craig Kelso
Director and State Records Administrator

cc: Agency head

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

www.tsl.texas.gov

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TSLAC

Preserving yesterday
Informing today
Inspiring tomorrow

R01: 723



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 723
University of Texas Medical
Agency Name Branch at Galveston

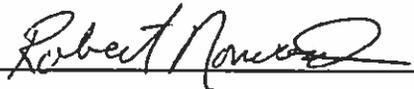
(Check one)

- 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) Robert Norwood
Date 12/14/2018

Section 2. Approvals

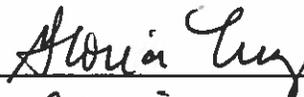
(Submitting agencies do not write in this section)

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

Not Required at This Time

Signature _____
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) Glórina Meraz
Date 1/11/19

Cert/Recert No. 7 Amendment No. 5

CAUTION

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

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





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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form

1. Page 1 of 38

2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1001 Office Of The President
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
	100120	Honors / Awards / Eligibility And History This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. The series may include but is not limited to: eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases.	PM	0	PM					N
	100121	Honors And Awards / Applications - Not Awarded This series documents the nomination or applications of students for honors or awards that are not awarded.	AC+2	0	AC+2	AC = After completion of application process.				N
	100122	Honors / Awards / Supporting Documentation Records that document the process of selecting honors and award winners. Records may include but are not limited to: applications, nomination letters, recommendations, letters of award notification or denial, letters accepting or declining awards, vote tallies, transcripts, CV's, essays, course evaluations, ranking sheets, and related documentation and correspondence.	FE+3	0	FE+3					N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1010 HPLA / Health Outcomes									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1	101012	Professional Committee Working Files Internal and external professional committees and work groups. Includes notes, work papers, reference materials, research, committee appointments, charters, and any other supporting documentation.	AC	0	AC	AC = Termination of service on committee, disbanding of committee, or records of committee no longer administratively valuable to the university. CAUTION: If the committee is funded by a grant, records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				N	
1.1	101013	Consulting Files Anything that documents consulting assistance provided by an individual or department to other internal departments that request assistance on a specific task or project and does not fall under a separate, more specific series on this schedule. May include correspondence, meeting notes, research, project plans, drafts, convenience copies of project/task work, and any other records that document the consulting assistance provided.	AC+1	0	AC+1	AC = Project or task completed or terminated. CAUTION: The department providing consulting assistance does not hold the official project records. Please reference each department's retention schedule for minimum retention requirements for official project files.				N	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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Records Retention Schedule Amendment

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1014 University Conferences And Events / Administration											
723		6. Record Series Title			7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend.
4. Records Series Item No.	5. Agency Item Number				Agency	Storage	Total	9. Remarks	106 No.	Pg No.	AIN	Type	
3.4.006	101408	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.			FE+4	0	FE+4	40 TAC 815.106(i).		47	101408	D	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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Records Retention Schedule Amendment

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1. Page 4 of 38

2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1015 University Conferences And Events / University Events									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks			Pg No.	AIN	
1.1.063	101507	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1			51	101507	D	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2022 OLRA / Office Of Legal And Regulatory Affairs
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1	202232	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.				N
4.4.001	202233	General and Subsidiary Ledgers	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2025 BOF / Supply Chain / ADMC / Materials Management Hospital Operations									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	202504	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			A3-30	202504	D	
5.4.010	202510	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.		A3-32	202510	D	

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PM - Permanent		



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2031 BOF / EHS / Occupational Safety									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks			Pg No.	AIN	
5.4	203115	Respirator Fit Test A test done to assess the seal between the respirator's facepiece and the face of the employee wearing it. These tests are done to ensure that personnel are medically able to wear a respirator and that the respirator fits properly and can protect employees from exposure to hazardous substances. Record includes: qualitative and quantitative fit tests; name of employee tested; type of fit test performed; specific make, model, and size of respirator tested; date test administered; results of test, or fit factor and strip chart (or other) recording of the test results, as applicable.	AC	3	AC+3	AC = Until next fit test is administered or employee separation. 29 CFR 1910.134.			A4-12	203115	C
5.4	203117	Asbestos Records This series documents a building by building survey and plan to correct asbestos material hazards. This series may include but is not limited to: surveys, monitoring tests and reports, data forms, building plans, correction checklists, removal job records, and related documentation and correspondence.	AV	PM	PM	25 TAC 295.62(a).			A4-12	203117	C

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Form SLR 105C must accompany this form

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2036 Quality And Healthcare Safety / Risk Management									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
5.4	203610	Unusual Event Reports / Minors This records documents investigations and summaries of an unusual or adverse event involving a minor patient or visitor that does not result in a claim or lawsuit. The records series may include but is not limited to: reports documenting unusual or adverse event occurrence, intake sheet, investigative notes, participant narratives, summary timeline of medical record, and other supporting documentation or related correspondence.	AC	3	AC+3	AC = Minor's 18th birthday.			190	203610	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2040 Research Services And Office Of Sponsored Programs / Administration									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.070	204011	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.		211	204011	D	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2046 OLRA / Records Management Compliance								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1	204631	Photographs And Negatives - Historically Significant Documents the collection of photographs or negatives created by or for an agency. Includes events that document the agency's organization, special ceremonies, occasions, events and facilities. May include commercially available material.	AV	0	AV	I				N
1.1	204632	Training Attendance And Evaluation Records Includes registration, class rosters, class evaluations, schedules/agendas, sign-in sheets, and other records that document the administration of training and offered for internal employees and external individuals we regulate and serve.	FE+3	0	FE+3		CAUTION: If attendance or evaluation records are to be maintained as a part of a CEU administration program, Joint Commission, accreditation, a grant, to provide supporting documentation for an employee's evaluation, or any other reason, the retention period may be longer. Be sure to verify program or training requirements.			N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2083 Finance / Clinical Accounting									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
4.2.006	208313	General Journal Vouchers A record of budget entries and transfers of funds between an agency's budgets.	FE+1	8	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		A4-25	208313	C	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2087 Office Of The Executive Vice President / Business And Finance									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
1.1.038	208705	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		A3-68	208705	D	

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PM - Permanent		



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3008 ADMC / Administration									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
5.2.014	300834	Inventory - Annual Physical Property, equipment, and supply verification.	FE+3	0	FE+3						N

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 3012 ADMC / Surgical Services

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
5.2.018	301209	Surgical Instrument Sterilization Records This series documents the sterilization of surgical instruments. This series may include but is not limited to: autoclave recording charts and log sheets indicating date, load number, items sterilized, and temperature / time settings.	FE	3	FE+3			A4-37	301209	C
	301210	Quality Control Reports	2	0	2					N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 3030 Nursing Services / Nursing Support

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
	303013	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	1	2	3			376	303013	C

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CE - Calendar Year End LA - Life Of Asset PM - Permanent FE - Fiscal Year End MO - Months US - Until Superseded		



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3037 Quality And Healthcare Safety								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	303703	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	1	5	6	O		394	303703	C
1.1.002	303705	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+7			395	303705	C
1.1.067	303716	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	1	2	3	O		398	303716	C

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3045 Nursing Services / Cardiopulmonary Resuscitation Lab								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
4.2.003	304508	Daily Cash Receipts Logs	FE+3	0	FE+3			407	304508	D

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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3079 Rehabilitation Services / Administration
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
	307936	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					N

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3095 Ambulatory Operations / Access Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.065	309505	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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. AC = Termination of employment. Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.		557	309505	D
2.2.016	309508	Software Registrations, Warranties And License Agreements	LA+3	0	LA+3		557	309508	D	
3.1.027	309511	Training and Educational Achievement Records (Individual) Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC+5	0	AC+5		558	309511	D	
3.4.007	309513	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3		558	309513	D	
5.1.004	309514	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	0	US		558	309514	D	
5.5.003	309515	Station Activity Reports Internal listing of all incoming/outgoing telephone activity to individual telephone stations.	AV	0	AV		558	309515	D	
5.5.004	309516	System Activity Reports Internal listing of all incoming/outgoing agency telephone activity.	AV	0	AV		559	309516	D	

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 3095 Ambulatory Operations / Access Center

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
	309517	Telemedicine Records This records series documents interactive healthcare utilizing modern technology and telecommunications to treat and diagnosis remote patients live over video for immediate care. May include but is not limited to: video/still images, patient data, consults, referrals, clinic notes and related correspondence.	AC+10	0	AC+10	AC = Date the patient was last treated, or if patient is minor, patient's 21st birthday.		559	309517	D

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
4.7	311118	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+15	0	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3113 ADMC / Cardiopulmonary / Respiratory
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
	311316	Patient Billing Provides itemized billing record for medical services rendered. Records may include but are not limited to: patient demographic information; electronic billing reports; copies of all monthly aged trail balance reports; physical logs detailing patient or insurance payments; copies of checks, ledgers, or any other information that details specific payments; insurance vouchers from Medicare, Medicaid, or any other entity with which the hospital has specific contracts; any contact from patients disputing any portion of their hospital bills for which the billing department has kept the original document, related correspondence.	1	9	10	42 CFR 422.504(d).				N

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3138 Nursing Services / Critical Care Management									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.048	313803	Medical Liability Claims And Litigation Files Records related to threatened or asserted medical litigation or investigation. This series may include but is not limited to: discovery, legal counsel work-products, evidence files, exposure records, exhibits, final judgments, correspondence, financial records, etc.	AC+1	19	AC+20	O		626	313803	C	

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3158 Nursing Services / WIC / Labor And Delivery (J3C,J3A)									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
5.2.005	315812	Calibration Records (Equipment or Instrument)	2	8	10			688	315812	C	

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4024 Office Of Clinical Simulation								
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
3.4.006	402423	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				N
	402424	Test Questions And Examinations Records may include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC+2	0	AC+2	AC = After graduation or date of last attendance.				N

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4033 SON / MSN Program									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		106 No.	Pg No.	AIN	
	403312	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+50	0	AC+50	AC = Completion of training.			A2-100	403312	C

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4064 SOM / Internal Medicine / Geriatrics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
4.7	406419	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.		978	406419	D
4.7	406420	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+15	0	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.		979	406420	D
4.7	406421	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.		979	406421	D

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
4.7	406816	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC	4	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.		994	406816	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4072 SOM / Neurology									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
1.1.007	407202	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	0	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 University 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.		1012	407202	D	
3.4.006	407208	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).		1014	407208	D	
3.4.007	407209	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3			1014	407209	D	
5.2.005	407212	Calibration Records (Equipment or Instrument)	10	0	10			1015	407212	D	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value						Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal						Amendment Codes (Field 12) N - New D - Deleted C - Changed			
CE - Calendar Year End			LA - Life Of Asset			PM - Permanent									
FE - Fiscal Year End			MO - Months			US - Until Superseded									



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4077 OB/GYN / Residency Education									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
1.1	407701	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+10	0	US+10	O		A1-109	407701	C	
1.1	407703	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	10	0	10	O		1031	407703	C	

Retention Codes (Field 7)						Archival Codes (Field 8)			Amendment Codes (Field 12)	
AC - After Closed, Terminated, Completion, Expiration, Settled	CE - Calendar Year End	LA - Life Of Asset	PM - Permanent	I - Retain in Archives	N - New	D - Deleted				
AV - Administrative Value	FE - Fiscal Year End	MO - Months	US - Until Superseded	O - Review Required Before Disposal	C - Changed					



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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4122 SOM / Pharmacology And Toxicology

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
	412218	Grade Reports This series documents grades received by students for the term. The series includes but is not limited to: course numbers and titles, grades awarded, grade point average, student name, and social security number.	AC+1	0	AC+1	AC = Date distributed. Information may be exempt from public disclosure.				N
	412219	Student Organization Administrative Records / Student Sponsored This series documents the history, development, and policies of student sponsored organizations. Records may include but are not limited to: registration forms, constitutions and bylaws, and risk management acknowledgement forms.	AC+5	0	AC+5	O AC = Life of the organization.				N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal N - New D - Deleted C - Changed



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4123 SHP / Physical Therapy									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
4.5.002	412319	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.					N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4128 SON / Graduate Program Administration									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
	412820	Internship Program Records This series is used to provide a record of the administration of student internship, practicum, clinical rotation, and cooperative education programs. Programs may be within the institution or off campus and for class credit and/or pay. Records may include but are not limited to: applications for internships inside and external to the institution, agreements with departments, postings/notices, student resumes, transcripts, copies of contracts, proposed institution listings, notes, and related documentation and correspondence.	AC+5	0	AC+5	AC = After graduation or date of last attendance.		A2-126	412820	D	

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AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4150 Student Life									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
5.1.004	415017	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.		1231	415017	D	
5.1.014	415018	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	0	US+1			1231	415018	D	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4165 SOM / Pediatrics Early Childhood Intervention / LAUNCH									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
	416514	Early Childhood Intervention Records Early childhood intervention records that may include but not be limited to: intake information, assessments, releases, diagnoses, plans, and progress notes of intervention by all staff, including occupational therapists, physical therapists, speech pathologists, nutritionists, early intervention specialists, and social workers. May also contain medical or other intervention records from other Early Childhood Intervention programs.	AC	5	AC+5	AC = Discharge date. 40 TAC 108.237, 22 TAC 781.204(f), 22 TAC 781.209(4), and 22 TAC 741.43.		1253	416514	D	

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AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4174 John Sealy Memorial Endowment Fund For Biomedical Research									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
4.5.006	417405	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3				1279	417405	D

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4187 Office Of Clinical Education - Galveston & Office Of Regional Medical Education Austin Program

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
	418722	Student Folders -- Visiting Students A record of students who are pursuing a degree from another institution but who take some University courses, do a clerkship, or research studies at the University.	AC	6	AC+6	I AC = Date of last attendance.		1310	418722	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled CE - Calendar Year End LA - Life Of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End MO - Months US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4205 Primary Care Services

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.063	420511	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled CE - Calendar Year End LA - Life Of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End MO - Months US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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March 15, 2018

M. Robert Norwood
Director, Records Management Compliance
The University of Texas Medical Branch at Galveston
301 University Blvd.
Galveston, TX 77555-0918

Re: Agency records retention schedule amendment approved for use.

Dear Mr. Norwood:

Amendment 4 to your agency's 7th recertification of your records retention schedule is approved for use as of March 12, 2018. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. 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 regulations (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, Gina Cervantes at 512-463-6623 or gcervantes@tsl.texas.gov.

Sincerely,

Craig Kelso
Director and State Records Administrator

cc: Agency head

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

www.tsl.texas.gov

Commission Chairman
Michael C. Waters

Members

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Larry G. Holt
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Assistant State Librarian
Gloria Meraz

TSLAC

*Preserving yesterday
Informing today
Inspiring tomorrow*

R01/723



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 723
 Agency Name The University of Texas
 Medical Branch at Galveston

(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 *Robert W. Norwood*

Name *(Print or type)* Robert Norwood

Date 12/8/2017

Section 2. Approvals

(Submitting agencies do not write in this section)

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

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

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

Signature *Gloria Mera*
 Name *(Print or type)* Gloria Mera
 Date 3/12/18

Cert/Recert No. 7 Amendment No. 4

CAUTION

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

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





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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1001 Office Of The President									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1	100112	Films, Videotapes, and Sound Recordings This series provides visual and/or aural documentation of institutional activities and events including students, faculty, and staff with significant relevance to either the institution's or individual unit's function and mission.	AV	0	AV	O		A1-01	100112	D	
1.1	100116	Photographs And Negatives - Historically Significant Documents the collection of photographs or negatives created by or for an agency. Includes events that document the agency's organization, special ceremonies, occasions, events and facilities. May include commercially available material.	AV	0	AV	I				N	
1.1	100117	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.			N	
1.1	100118	Committee Election and Appointment Records This series documents the appointment to and the election of faculty to committees. This series may include but is not limited to: ballots, tabulations, letters of appointment, committee membership rosters, and related documentation and correspondence.	AV	0	AV					N	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1016 HPLA / Osher Lifelong Learning Institute									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
4.2.002	101619	Cash Receipts Includes receipts for fees (permits, licenses, renewals, etc.)	FE	3	FE+3					101619	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2004 Audit Services Consulting And Investigation								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.067	200413	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2013 Finance / Controller / Asset Management									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
4.5.003	201309	Annual Financial Reports Required by the General Appropriations Act (100 Day Report).	AC+6	0	AC+6	I	AC = September 1 of odd-numbered calendar years. 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 I. 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.		93	201309	C
4.6.002	201310	Reconciliations	FE+3	0	FE+3				93	201310	C
5.1.001	201312	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC+7	0	AC+7		AC = Expiration or termination of the instrument according to its terms. SEE item numbers 3.1.035 for performance bonds, 5.3.007 for bid documentation, 5.2.028 for building construction contracts, and 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		A3-14	201312	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value						Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal						Amendment Codes (Field 12) N - New D - Deleted C - Changed					
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2014 Finance / Controller / General Accounting								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.068	201411	Reports on Performance Measures Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC+6	0	AC+6	AC = September 1 of odd-numbered calendar years.		98	201411	D
4.1	201417	Unclaimed Accounts Payable And Payroll Checks This record series consists of returned checks due to an incorrect address for the intended person or agency.	FE+10	0	FE+10	Texas Property Code 74.103(b).		100	201417	C
4.7	201430	Information Request Records This record series consists of statistical and operational responses to inquiries from internal departments and external organizations seeking a variety of information. Records may include but are not limited to: survey material, data references, internal studies with supporting information, job information, benchmarking data, other records related to the study of internal operations, related correspondence, and the final computation of the data into a report.	FE+3	0	FE+3			103	201430	D
5.2	201435	Disaster Validation / Mitigation Reimbursement Records This series documents the events and damages to institutional property due to a storm or disaster related event affecting facilities and equipment within the jurisdiction of the institution. This series may include but is not limited to: a scope of work and cost to repair back to pre-storm condition, an executive summary, storm history, system or building description, damage validation methodology, damage validation conclusion, numerous exhibits including photographs, specifications, location or plan drawings and Rebuild in Kind project worksheets detailing associated costs, related documentation and correspondence.	AC	3	AC+3	AC = Date FEMA closes Disaster 1791.		A3-15	201435	C

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CE - Calendar Year End		LA - Life Of Asset		PM - Permanent							
FE - Fiscal Year End		MO - Months		US - Until Superseded							



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2017 Marketing And Communications											
723		6. Record Series Title			7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend.
4. Records Series Item No.	5. Agency Item Number				Agency	Storage	Total	9. Remarks		106 No.	Pg No.	AIN	Type
1.1.063	201721	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.			1	0	1						N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 2031 BOF / EHS / Occupational Safety

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	203101	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.				N
1.1	203102	Training Attendance And Evaluation Records Includes registration, class rosters, class evaluations, schedules/agendas, sign-in sheets, and other records that document the administration of training and offered for internal employees and external individuals we regulate and serve.	FE+3	0	FE+3		CAUTION: If attendance or evaluation records are to be maintained as a part of a CEU administration program, Joint Commission, accreditation, a grant, to provide supporting documentation for an employee's evaluation, or any other reason, the retention period may be longer. Be sure to verify program or training requirements.			

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total				Pg No.	AIN	
1.1.007	203103	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	0	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 University 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.				N
1.1.008	203104	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				N
1.1.067	203105	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				N

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2031 BOF / EHS / Occupational Safety									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.070	203106	Agency Rules, Policies, and Procedures - Asbestos This records series consists of asbestos awareness information and may include but not be limited to manuals, policies, procedures, or similar records and related correspondence.	PM	0	PM	O	SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071. Retention is based on department policy when dealing with asbestos materials.				N
1.1.070	203107	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				N
1.3.001	203108	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.3.002	203109	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				N
3.1.027	203110	Training and Educational Achievement Records (Individual) Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC+5	0	AC+5		AC = Termination of employment.			N
3.3.030	203111	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	0	US+2		CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.			N
5.1.010	203112	Licenses and Permits for Non-vehicles Does not include licenses and permits issued by an agency as part of its statutory responsibilities.	AC+2	0	AC+2		AC = Expiration date of license or permit.			N
5.2.005	203113	Calibration Records (Equipment or Instrument)	10	0	10					N
5.3.005	203114	Packing Slips This series documents the receipt of equipment, supplies, other items, and services from vendors. The series includes: packing slips, shipping and container lists, and bills of lading.	2	0	2		49 CFR 172.201(e) Retention is based on department policy.			N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
5.4	203115	Respirator Fit Test A test done to assess the seal between the respirator's facepiece and the face of the employee wearing it. These tests are done to ensure that personnel are medically able to wear a respirator and that the respirator fits properly and can protect employees from exposure to hazardous substances. Record includes: qualitative and quantitative fit tests; name of employee tested; type of fit test performed; specific make, model, and size of respirator tested; date test administered; results of test, or fit factor and strip chart (or other) recording of the test results, as applicable.	AC+3	0	AC+3	AC = Until next fit test is administered or employee separation. 29 CFR 1910.134.				N	
5.4	203116	Inspection Records - Biological This series documents inspections done by Biological Safety in the course of routine business, and is used by the institution to correct and analyze safety problems and to document compliance with regulations. This series may include but is not limited to: inspection sheets which show date of inspection, notation of violations, and suggested corrective measures, reports acknowledging compliance with regulations, authorizing signatures, and any related information, documentation and correspondence.	AC+3	0	AC+3	AC = Inspection Superseded, deficiency corrected, or research terminated. CAUTION: Does not include inspection reports of building construction. SEE item number 5.2.028.				N	
5.4	203117	Asbestos Records This series documents a building by building survey and plan to correct asbestos material hazards. This series may include but is not limited to: surveys, monitoring tests and reports, data forms, building plans, correction checklists, removal job records, and related documentation and correspondence.	PM	0	PM	25 TAC 295.62(a).				N	

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Archival Codes (Field 8)

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O - Review Required Before Disposal

Amendment Codes (Field 12)

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C - Changed



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			Agency	Storage	Total			9. Remarks	Pg No.	
5.4	203118	Medical Surveillance Records This series documents the medical history of employees working in positions with exposure to high risk hazardous conditions such as Class B and C carcinogenic compounds, asbestos, lead, or excessive noise. Medical examinations of workers are made at the beginning and termination of institution employment and periodically throughout the career course as well as immediately following an accident or potential exposure incident. This series may include but is not limited to: physician medical statement; laboratory test records and results; and related documentation and correspondence.	AC+30	0	AC+30	AC = After separation for records documenting persons contacting or removing hazardous materials.				N
5.4.007	203119	Hazardous Materials Training Records Records of training given to employees in an agency hazard communications program.	5	0	5	Texas Health and Safety Code, 502.009(g).				N
5.4.008	203120	Hazard Communication Plans	US+5	0	US+5	Texas Health and Safety Code, 502.009(g).				N
5.4.009	203121	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				N
5.4.010	203122	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
5.4	203513	Environmental Regulations Records This series documents institutional compliance with environmental laws and guidelines of federal, state, or local governments. These records include communications with the Environmental Protection Agency (EPA) of the federal government and also the Texas Commission on Environmental Quality (TCEQ). This series may include but is not limited to: Title V Air Discharge Permits, Air Quality Reports, Waste Water Discharge Permit Applications, Waste Water Discharge Permits, Municipal Separate Storm Sewer System Permits, Water Quality Reports, Waste Water Discharge Records, Notice of Intent and Not of Termination records for construction sites and Municipal Solid Waste (medical waste reporting), Notices of Violation, Notices of Non-compliance, and related documentation and correspondence.	AV	PM	PM	40 CFR §262.40, 30 TAC 326, 30 TAC 122.144, 30 TAC 290.45 (b)(2)(H), 30 TAC 290.45 (5)(C), 30 TAC 290.46 (f)(3).		185	203513	C
5.4.003	203515	Inspection Records Fire, safety, and other inspection records of agency facilities and equipment.	AC+1	6	AC+7	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.		186	203515	C

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2037 HR / Employee Injury And Illness Management									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
5.4.001	203710	Accident Reports and Associated Documentation / Non Exposures Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Workers' Compensation Commission or its predecessors or maintained internally on accident frequency.	CE+3	2	CE+5	29 CFR 1904.33. The Texas Department of Insurance retains copies of the reports submitted to it for 50 years..			A1-21	203710	C

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2038 University Police								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.067	203842	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
4.7	207511	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC	4	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.		283	207511	C

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2079 Finance / Budgeting and Analysis								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
3.3.030	207906	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	0	US+2	CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.		290	207906	D
4.1	207907	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+1	6	FE+7			290	207907	D
4.6.002	207910	Reconciliations	FE+3	0	FE+3			290	207910	D
1.1.002	207911	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	0	AC+7	AC = Publication or release of final audit findings. The record copy of any audit performed by the State Auditor's Office is retained permanently by UTMB's Internal Audit Services Consulting And Investigation.				N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.007	207912	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	0	4	O				N
1.1.024	207913	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.			N
1.1.043	207914	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1					N
1.1.063	207915	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					N

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RMAN: 2079 Finance / Budgeting and Analysis

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			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.067	207916	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O				N
4.5.002	207917	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3					N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1	208301	Reports And Studies - Special Activity This series documents the activities of a University department. Examples may include the completion of surveys and questionnaires, compilation of special studies for professional or academic associations, and special mailings. This series may include but is not limited to: arrangements documentation; working papers; questionnaires; survey forms; study designs; reports; and related documentation and correspondence.	10	0	10	O ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention.				N
1.1.002	208302	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	0	AC+7	AC = Publication or release of final audit findings. The record copy of any audit performed by the State Auditor's Office is retained permanently by UTMB's Internal Audit Services Consulting And Investigation.				N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.007	208303	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	0	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 University 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.				N
1.1.008	208304	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8.	9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total				Pg No.	AIN	
1.1.013	208305	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				N
1.1.040	208306	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: AC = Until superseded or no longer needed for reference.				N
1.1.043	208307	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1						N

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			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.057	208308	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				N
1.1.063	208309	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					N
1.1.068	208310	Reports on Performance Measures Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC+6	0	AC+6	AC = September 1 of odd-numbered calendar years.				N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
3.2.003	208311	Federal Tax Records This series provides a summary record of data reported on the annual wage and tax statements for agency employees, corrections to these statements, and a record of transmittal to the federal government. Records include print-outs from the agency by year in social security number order which include names, social security numbers, tax subject earnings, other data required by law, summary transmittal forms, and FICA records. Forms may include IRS forms W-2, W-2C, W-3, W-3C and 990-T.	AC+6	0	AC+6	AC = Tax due date, date claim is filed, or date tax is paid whichever is later. 26 CFR 31.6001-1(e)(2). IRC Section 6531 Title 26-Internal Revenue Code.				N
4.1	208312	Unclaimed Accounts Payable And Payroll Checks This record series consists of returned checks due to an incorrect address for the intended person or agency.	FE+10	0	FE+10	Texas Property Code 74.103(b).				N
4.2.006	208313	General Journal Vouchers A record of budget entries and transfers of funds between an agency's budgets.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				N

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			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
4.5	208314	Building Depreciation Ledgers This records series consists of depreciation logs for buildings owned by the institution. This records series may include but is not limited to: depreciation calculations for all buildings, supporting documentation showing the accumulated depreciation has been calculated appropriately, depreciation of buildings for Medicare cost reporting, and all ledgers associated with building depreciation.	AC+7	0	AC+7	AC = Until building is demolished.				N
4.5.002	208315	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				N
4.5.005	208316	External Fiscal Reports Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE+3	0	FE+3					N
4.5.006	208317	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3					N
4.7.002	208318	Bank Statements Records that list deposits, withdrawals, checks paid, interest earned, and service charges or penalties incurred on an account. Statements show the cumulative effect of these transactions the account's balance.	FE+3	0	FE+3					N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.008	208503	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.	1	1	2			295	208503	C
4.5.002	208522	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE	3	FE+3			300	208522	C
8.1	208531	Health Assessment This series documents the provision of health-related services, for example: cholesterol screening, blood pressure testing, etc. This series may include but is not limited to: tests, goals and objectives, diagnostic reports, questionnaires, permission to forward the information to the patient's primary care physician, and related data.	AC	5	AC+5					N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.007	300301	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	0	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 University 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.		A3-70	300301	N	
1.1.008	300302	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.		A3-70	300302	N	

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CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months US - Until Superseded	
PM - Permanent		



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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.013	300303	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.		A3-71	300303	N
1.1.023	300304	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I	Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: AC = Until superseded.		A3-71	300304	N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10.	11. Current Schedule		12.
			Agency	Storage	Total	9. Remarks		106 No.	Pg No.	AIN	Amend. Type
1.1.057	300305	<p>Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series.</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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>			A3-72	300305	N
1.1.063	300306	<p>Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1				A3-72	300306	N
1.1.067	300307	<p>Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.</p>	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			A3-72	300307	N

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I - Retain in Archives
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Amendment Codes (Field 12)

N - New
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
3.3.023	300308	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	0	FE+3			A3-73	300308	N	
4.5.002	300310	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				N	

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4. Records Series Item No.	5. Agency Item Number				Agency	Storage	Total	9. Remarks		106 No.	Pg No.	AIN	Type
	300625	Prayer Requests Documents requests for prayers made by individuals to Pastoral Care.			AV	0	AV				331	300625	C

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			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
2.2.013	300935	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	0	AC	AC = No longer needed as an audit trail for any records modified.				N
3.4.006	300936	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				N
3.4.007	300937	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
5.2.005	301012	Calibration Records (Equipment or Instrument)	10	0	10					N	

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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3012 ADMC / Surgical Services
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	301201	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.				N
1.1.007	301202	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	0	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 University 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.				N
1.1.008	301203	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 3012 ADMC / Surgical Services

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.013	301204	Calendars, Appointment Books 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	0	CE+1	O				N
1.1.043	301205	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1					N

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			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1.057	301206	<p>Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series.</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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				N	
1.1.063	301207	<p>Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					N	
3.4.006	301208	<p>Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.</p>	FE+4	0	FE+4	40 TAC 815.106(i).				N	
8.1	301209	<p>Surgical Instrument Sterilization Records This series documents the sterilization of surgical instruments. This series may include but is not limited to: autoclave recording charts and log sheets indicating date, load number, items sterilized, and temperature / time settings.</p>	FE+3	0	FE+3					N	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
1.1	301301	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.				N	
1.1	301302	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.				N	
1.1	301303	Professional Committee Working Files Internal and external professional committees and work groups. Includes notes, work papers, reference materials, research, committee appointments, charters, and any other supporting documentation.	AC	0	AC	AC = Termination of service on committee, disbanding of committee, or records of committee no longer administratively valuable to the university. CAUTION: If the committee is funded by a grant, records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				N	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.007	301304	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	0	4	O				N
1.1.008	301305	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	0	2					N
1.1.040	301306	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O				N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.057	301307	<p>Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series.</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; 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	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				N
1.1.063	301308	<p>Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					N
1.1.067	301309	<p>Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.</p>	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.070	301310	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				N
3.4.006	301311	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				N
3.4.007	301312	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					N
4.5.002	301313	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				N

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2. Agency Code		5. Agency Item Number		6. Record Series Title			7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend. Type
723		301314		Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.			AC+4	0	AC+4	9. Remarks		106 No.	Pg No.	AIN	N
4.7		301315		Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.			LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.					N
5.2.010		301316		Quality Control Reports			2	0	2						N
5.2.018															

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2. Agency Code		5. Agency Item Number		6. Record Series Title			7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend.
723							Agency Storage Total			9. Remarks		106 No.	Pg No. AIN		Type
5.4.007		301317		Hazardous Materials Training Records Records of training given to employees in an agency hazard communications program.			5 0 5			Texas Health and Safety Code, 502.009(g).					N
5.4.009		301318		Workplace Chemical Lists			30 0 30			Texas Health and Safety Code, 502.005(d).					N
8.1		301319		Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.			3 0 3								N
8.1		301320		Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.			FE+5 0 FE+5								N

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3035 Office Of Graduate Medical Education									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
4.5.002	303514	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE	3	FE+3			384	303514	C	
4.6.002	303515	Reconciliations	FE	3	FE+3			384	303515	C	
1.1	303521	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.				N	

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3037 Quality And Healthcare Safety											
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4. Records Series Item No.	5. Agency Item Number				Agency	Storage	Total	9. Remarks		106 No.	Pg No.	AIN	
5.2.018	303727	Quality Control Reports			2	0	2						N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
1.1	305401	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+10	0	US+10	O		446	305401	D	
1.1	305402	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O		446	305402	D	
1.1.008	305403	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	0	2			446	305403	D	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
1.1.057	305404	<p>Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series.</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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>		447	305404	D	
3.3.020	305405	<p>Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.</p>	5	0	5	Retention is based on American Association of Blood Banks.		447	305405	D	
	305406	<p>Admissions Records / Accepted This series documents the application process for individuals seeking admission to the institution or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.</p>	AC+5	0	AC+5	AC = Graduation or date of last attendance.		447	305406	D	

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		RMAN: 3054 SHP / Clinical Laboratory Sciences / Specialty in Blood Banking Program									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
	305407	Non-Institution Student Records This records series documents the administrative activities of special instructional and support programs directed to serve elementary through high school and non-institution students belonging to special groups. The series may include but is not limited to: policy and program planning and development documentation; evaluations of courses, support services, and instructors; program course outlines; attendance records; reports; statistical reports; working papers; and related documentation and correspondence.	AC+1	9	AC+10	O	AC = Completion or date of last attendance. Retention is based on Blood Banking accreditation requirements and department policy.	448	305407	D	
	305408	Student Research Projects This records series includes all records related to research projects undertaken by students in the course of their education at UTMB. Records may include but are not limited to: applications for research, protocols, research progress, lab notebooks, final reports, evaluations by faculty, IRB or IACUC approval and monitoring, and related correspondence and documentation.	AC+10	0	AC+10		AC = Completion of the project.	448	305408	D	
	305409	Test Questions And Examinations Records may include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC+2	0	AC+2		AC = After graduation or date of last attendance.	448	305409	D	

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			Agency	Storage	Total			9. Remarks	Pg No.	
5.1.001	305410	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item numbers 3.1.035 for performance bonds, 5.3.007 for bid documentation, 5.2.028 for building construction contracts, and 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		A3-95	305410	D
	305411	Admissions Records / Denied This series documents the applications process for individuals that have been denied admission to the University or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC+1	0	AC+1	AC = After application term.		A1-48	305411	D

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
8.1	306213	Quality Assurance Records / Health Services This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections, reports by the staff, quality assurance committee notes, staff reviews and related correspondence.	FE	3	FE+3			A3-114	306213	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
8.1	306511	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3						N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
3.3.027	307934	Aptitude and Skills Tests Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US+2	0	US+2	29 CFR 1602.49 (State Universities). CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.				N	
3.3.028	307935	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	0	2		29 CFR 1602.49 (State Universities).				N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
3.4.006	308608	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).		531	308608	D	
3.4.007	308609	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3			532	308609	D	
5.2.008	308612	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.		A3-129	308612	D	
	308613	Medical Logs / Transfer Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	AC	5	AC+5	AC = Date of transfer. Retention is based on U.S. Code 42 U.S.C. § 1395dd.		A1-60	308613	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1.070	310904	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.		584	310904	D	
3.4.006	310906	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).		A1-66	310906	C	
3.4.007	310907	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3			A1-66	310907	C	
5.2.018	310909	Quality Control Reports	2	0	2			585	310909	C	

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RMAN: 3109 Respiratory Care Services

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total				Pg No.	AIN	
1.1.007	310914	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	0	4	O	<p>ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the University Archives when these records have met their retention periods.</p> <p>CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.</p>				N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled CE - Calendar Year End LA - Life Of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End MO - Months US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
1.1.065	311206	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.		593	311206	D
5.1.004	311210	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.		594	311210	D

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
5.4.012	313514	Security Access Records Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency facilities, equipment, or automated systems.	AC+2	0	AC+2	AC = Until superseded, date of expiration, or date of termination, whichever sooner.		616	313514	D	

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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks			Pg No.	AIN	
5.3.005	313942	Packing Slips This series documents the receipt of equipment, supplies, other items, and services from vendors. The series includes: packing slips, shipping and container lists, and bills of lading.	AV	0	AV						N
8.1	313943	Quality Assurance Records / Health Services This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections, reports by the staff, quality assurance committee notes, staff reviews and related correspondence.	FE+3	0	FE+3						N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
	315713	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	1	2	3			684	315713	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
1.1.002	316501	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	0	AC+7			712	316501	D	
1.1.007	316502	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	0	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 University 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.		712	316502	D	
1.1.008	316503	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.		712	316503	D	

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			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.013	316504	Calendars, Appointment Books 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	0	CE+1	O		713	316504	D
1.1.024	316505	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.	713	316505	D
1.1.040	316506	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.	713	316506	D
1.1.043	316507	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			A3-172	316507	D

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			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.070	316511	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.		715	316511	D
4.5.002	316512	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.		715	316512	D
4.5.006	316513	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3			715	316513	D

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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.007	316701	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	0	4	O		723	316701	D	
1.1.008	316702	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.	723	316702	D	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.013	316703	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.		724	316703	D
1.1.063	316704	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1			724	316704	D
3.4.006	316705	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).		724	316705	D
3.4.007	316706	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3			724	316706	D
5.1.004	316707	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.		724	316707	D

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
5.2.005	316708	Calibration Records (Equipment or Instrument)	10	0	10			724	316708	D
	316709	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	1	2	3			A2-78	316709	D
1.1.057	316710	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).		A1-82	316710	D

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723										
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.038	316819	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.				N

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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
5.6.003	316935	Inspection Repair and Maintenance Records - Vehicles	LA+1	0	LA+1				A3-175	316934	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.007	317001	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	0	4	O				N	
1.1.008	317002	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	0	2					N	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks	106 No.	Pg No.	AIN		
1.1.057	317004	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				N	
1.1.063	317005	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					N	
1.1.069	317006	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	0	1	CAUTION: SEE item number 1.1.064.				N	
3.4.007	317007	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					N	

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RMAN: 3170 ADMC / Labor & Delivery

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
4.5.002	317008	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				N
5.2.005	317009	Calibration Records (Equipment or Instrument)	10	0	10					N
5.2.018	317010	Quality Control Reports	2	0	2					N
8.1	317011	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					N

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4001 SHP / Office Of The Dean Of School Of Health Professions									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
4.1.007	400109	Transfers or Budget Revisions Transfers or adjustment to budgets.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		744	400109	D	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.069	400206	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	0	1	CAUTION: SEE item number 1.1.064.		746	400206	D
3.1.014	400210	Employment Selection Records May include but not be limited to: 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	0	2	29 CFR 1602.49(a) [State Universities]. CAUTION: Does not include criminal history checks. SEE item number 3.1.026.		747	400210	C
3.1.001	400211	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	0	2	29 CFR 1602.49(a) [State Universities].		747	400211	D

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
9.1.009	401917	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).		A3-205	401917	D	

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4023 SOM / PMCH / Office Of Biostatistics									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1	402311	Reports And Studies - Special Activity This series documents the activities of a University department. Examples may include the completion of surveys and questionnaires, compilation of special studies for professional or academic associations, and special mailings. This series may include but is not limited to: arrangements documentation; working papers; questionnaires; survey forms; study designs; reports; and related documentation and correspondence.	10	0	10	O ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention.				N	
1.1	402312	Media Consent Forms This series authorizes the use of audio or visual media. Records may include but are not limited to the signed consent form and related correspondence.	AC+2	0	AC+2	O AC = After authorization.				N	
1.1.007	402313	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	0	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 University 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.				N	

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RMAN: 4023 SOM / PMCH / Office Of Biostatistics

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			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.040	402314	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: AC = Until superseded or no longer needed for reference.				N
2.1.007	402315	Software Programs Automated software applications and operating system files including job control language, program listing/source code, etc.	AC	0	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.				N

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RMAN: 4026 SOM / Institute For Medical Humanities

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			Agency	Storage	Total			9. Remarks	Pg No.	
9.1.073	402628	Student Coursework This series documents student subject mastery in institution courses. Records may include but are not limited to: examinations and answers; quizzes and answers; homework assignments; course papers; term papers; and essay assignments.	AC+1	0	AC+1	AC = End of academic term. CAUTION: Coursework under dispute may not be destroyed until the resolution of the dispute.				N

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			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
9.1.045	403314	Student Grievance Records This series documents grievances brought forward by students against the institution which do not result in litigation. Grievances may pertain to academic issues, housing, affirmative action and equal opportunity, student conduct, and other issues. Records may include but are not limited to: notices of grievance, informal discussion notes, grievance responses, formal hearing notes (including audio tapes), final summary statements, settlement agreements, appeals documentation, and related records.	AC+3	0	AC+3	AC = After resolution.		A2-100	403314	C	
9.1.063	403315	Equipment Usage Log This series is used to monitor the loan and return of university property such as recreational equipment and lockers and is also used to determine usage trends as an aid to purchase and replacement decisions. Records may include but are not limited to: locker agreements; equipment loan forms; usage logs; and related correspondence.	2	0	2					N	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	406024	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.				N	
7.1	406025	Assistantship / Fellowship / Traineeship Applications / Denied A record of applicants for grant, contract or state-funded assistantships, fellowships or traineeships who were not awarded the position. Records may include but are not limited to: applications, current curriculum vitae, list of references, letter of support, written description of research training background and current research interests, and any related correspondence.	AC+2	0	AC+2	AC = After completion of application process.				N	
8.1	406026	Quality Assurance Records / Health Services This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections, reports by the staff, quality assurance committee notes, staff reviews and related correspondence.	FE+3	0	FE+3					N	

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			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
9.1.029	406027	Placement Records This series documents the written reference history of a student to be forwarded to potential employers or professional schools. Records may include but are not limited to: credentials records showing where, when, and cost of letters sent; release of information form which includes a listing of the reference letters to be sent; reference letters; student teaching reports; professional program certificates; personal data sheets and resumes; College Interview Forms; and related documentation and correspondence.	AC+2	0	AC+2	AC = After placement.				N

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4068 SHP / Clinical Laboratory Sciences													
2. Agency Code		5. Agency Item Number		6. Record Series Title			7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend.
723							Agency Storage Total			9. Remarks		106 No.	Pg No. AIN		Type
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Agency	7. Storage	7. Total	8. Archival	9. Remarks	10. 106 No.	11. Pg No.	11. AIN	12. Type				
1.1	406828	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+10	0	US+10	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation. Retention is based on department policy and Blood Banking Requirements.				N				
3.3.020	406829	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	5	0	5		Retention is based on department policy and Blood Banking Requirements.				N				
5.1.001	406830	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC+7	0	AC+7		AC = Expiration or termination of the instrument according to its terms. SEE item numbers 3.1.035 for performance bonds, 5.3.007 for bid documentation, 5.2.028 for building construction contracts, and 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.				N				
9.1.002	406831	Admissions Records / Accepted This series documents the application process for individuals seeking admission to the institution or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC+5	0	AC+5		AC = Graduation or date of last attendance.				N				

Retention Codes (Field 7)						Archival Codes (Field 8)				Amendment Codes (Field 12)			
AC - After Closed, Terminated, Completion, Expiration, Settled		CE - Calendar Year End		LA - Life Of Asset		PM - Permanent		I - Retain in Archives		N - New		D - Deleted	
AV - Administrative Value		FE - Fiscal Year End		MO - Months		US - Until Superseded		O - Review Required Before Disposal		C - Changed			



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4068 SHP / Clinical Laboratory Sciences									
2. Agency Code		723									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
9.1.003	406832	Admissions Records / Denied This series documents the applications process for individuals that have been denied admission to the University or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC+1	0	AC+1					N	
9.1.028	406833	Non-Institution Student Records This records series documents the administrative activities of special instructional and support programs directed to serve elementary through high school and non-institution students belonging to special groups. The series may include but is not limited to: policy and program planning and development documentation; evaluations of courses, support services, and instructors; program course outlines; attendance records; reports; statistical reports; working papers; and related documentation and correspondence.	AC+1	9	AC+10	O	AC = Completion or date of last attendance. Retention is based on department policy and Blood Banking Requirements.			N	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal N - New D - Deleted C - Changed



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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4103 Pediatric Immunology / Allergy
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
	410326	UTMB Sponsored Medical Research / Human (Regulated By FDA) This records series includes UTMB sponsored human related medical research, experiments and data collected. Includes the signed informed consent form and any data safety monitoring reports.	AC+10	5	AC+15	AC = After last contact with subject.		A1-114	410326	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1.008	410401	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	0	2			1087	410401	D	
1.1.013	410402	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.		1087	410402	D	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value						Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal						Amendment Codes (Field 12) N - New D - Deleted C - Changed					
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1.057	410403	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>		1088	410403	D	
1.1.063	410404	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1			1088	410404	D	
2.2.013	410405	<p>Quality Assurance Records</p> <p>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.</p>	AC	0	AC	<p>AC = No longer needed as an audit trail for any records modified.</p>		1088	410405	D	

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AV - Administrative Value

CE - Calendar Year End LA - Life Of Asset PM - Permanent
FE - Fiscal Year End MO - Months US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal

Amendment Codes (Field 12)

N - New D - Deleted
C - Changed



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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		106 No.	Pg No.	AIN	
3.4.006	410406	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).			1088	410406	D
3.4.007	410407	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3				1089	410407	D
	410408	Patient Billing Provides itemized billing record for medical services rendered. Records may include but are not limited to: patient demographic information; electronic billing reports; copies of all monthly aged trail balance reports; physical logs detailing patient or insurance payments; copies of checks, ledgers, or any other information that details specific payments; insurance vouchers from Medicare, Medicaid, or any other entity with which the hospital has specific contracts; any contact from patients disputing any portion of their hospital bills for which the billing department has kept the original document, related correspondence.	1	9	10	42 CFR 422.504(d).			1089	410408	D

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
8.1	411313	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE+5	0	FE+5					N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4128 SON / Graduate Program Administration
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.007	412804	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	0	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 University 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.		1170	412804	D
9.1.041	412821	Student Academic Records Records may include but are not be limited to: date of admission, period of attendance, academic work undertaken, academic work successfully completed, honors awarded, diploma, degree, or certificate earned, and appropriate evaluation of work completed for students such as medical, nurses, and other professional type students. Also includes course changes and add/drops.	AC+10	0	AC+10	AC = Graduation or date of last attendance.				N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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RMAN: 4129 SON / BSN Program - Sr. Year & Jr. Year

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
	412916	Test Questions And Examinations Records may include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC	2	AC+2	AC = After graduation or date of last attendance.		A2-128	412916	C
9.1.042	412917	Student Advising Records This series is used to provide a record of an undergraduate and/or graduate student's advisement progress within a specific department and or college program.	AC+2	0	AC+2	AC = After degree completed or last enrollment. Portions of these records may be exempt from public disclosure.				N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1	413025	Media Consent Forms This series authorizes the use of audio or visual media. Records may include but are not limited to the signed consent form and related correspondence.	AC+2	0	AC+2	O	AC = After authorization.				N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
4.5.002	415024	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				N	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal N - New D - Deleted C - Changed



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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	416801	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.				N
1.1.007	416802	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	0	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 University 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.				N
1.1.008	416803	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.013	416804	Calendars, Appointment Books 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	0	CE+1	O				N
1.1.038	416805	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC					N
1.1.043	416806	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1					N

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4168 ADMC / ICU & Medical Surgery									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.057	416807	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>			N		
1.1.063	416808	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1				N		
4.5.002	416809	<p>Internal Fiscal Management Reports</p> <p>Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.</p>	FE+3	0	FE+3		Monthly reconciliation and approval of expenses required by internal audit.			N	
5.2.018	416810	<p>Quality Control Reports</p>	2	0	2					N	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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			Agency	Storage	Total			9. Remarks	Pg No.	
8.1	416811	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4171 SON / Office Of Education Technology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.069	417113	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	0	1	CAUTION: SEE item number 1.1.064.				N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4189 AS / Instruction Management Office									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
4.5.002	418918	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				N	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months US - Until Superseded	
PM - Permanent		



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4194 SHP / Division Of Rehabilitation Sciences									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
4.7	419420	Information Request Records This record series consists of statistical and operational responses to inquiries from internal departments and external organizations seeking a variety of information. Records may include but are not limited to: survey material, data references, internal studies with supporting information, job information, benchmarking data, other records related to the study of internal operations, related correspondence, and the final computation of the data into a report.	FE+3	0	FE+3			1349	419420	D	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed



June 28, 2017

Robert Norwood
Director, Records Management Compliance
University of Texas Medical Branch at Galveston
301 University Blvd. Galveston, TX 77555-0918

Re: Agency records retention schedule amendment approved for use.

Dear Robert:

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

www.tsl.texas.gov

Commission Chairman
Michael C. Waters

Members
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F. Lynwood Givens
Larry G. Holt
Romanita Matta-Barrera
Wm. Scott McAfee
Martha Wong

Director and Librarian
Mark Smith

Assistant State Librarian
Gloria Meraz

Amendment 3 to your agency's 7th recertification of your records retention schedule is approved for use as of June 22, 2017 your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. 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 regulations (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, Gina Cervantes at 512-463-6623 or gcervantes@tsl.texas.gov.

Sincerely,

A handwritten signature in black ink, appearing to read "CK" or similar initials.

Craig Kelso
Director and State Records Administrator

cc: Agency head

TSLAC

Preserving yesterday
Informing today
Inspiring tomorrow

723 190



Texas State Library and Archives Commission

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 723
Agency Name University of Texas Medical Branch at Galveston

- (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 *Dusty Norwood*
Name (Print or type) Dusty Norwood
Date 12/07/2016

Section 2. Approvals (Submitting agencies do not write in this section)

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

Signature _____
Name (Print or type) _____
Date _____

Not Required at This Time

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

Signature *Rebecca Cannon*
Name (Print or type) REBECCA CANNON
Date 06-22-17

Cert/Recert No. 7 Amendment No. 3

CAUTION

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

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





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Form SLR 105C must accompany this form

1. Page 1 of 267

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1001 Office Of The President									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1	100113	Gift Records Or Donor Files This series documents potential or realized private, corporate, or public agency funding to the institution, including endowments, gifts, donor records and trusts. This series may include but is not limited to: award guidelines; letters and agreements of gifts; amounts of donations received; names of donors; conditions placed on donations; copies of bequest instruments and wills from individuals or estates; gift / pledge transmittal forms; solicitation material; acknowledgement letters; copies of checks or securities documents; financial statements and reports, including records of fund disbursements; and related documentation and correspondence.	PM	0	PM	I	Security is open with restrictions.				N
1.1	100114	Professional Committee Working Files Internal and external professional committees and work groups. Includes notes, work papers, reference materials, research, committee appointments, charters, and any other supporting documentation.	AC	0	AC		AC = Termination of service on committee, disbanding of committee, or records of committee no longer administratively valuable to the university. CAUTION: If the committee is funded by a grant, records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				N
1.1.063	100115	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1						N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value						Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal				Amendment Codes (Field 12) N - New D - Deleted C - Changed	
CE - Calendar Year End		LA - Life Of Asset		PM - Permanent							
FE - Fiscal Year End		MO - Months		US - Until Superseded							



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON									
		RMAN: 1002 Development Office									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
3.1.023	100214	Position/Job Descriptions Job descriptions, including all associated task or skill statements, for positions in an agency.	AC+4	0	AC+4	AC = Until superseded or job eliminated. 40 TAC 815.106(i).			8	100214	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1004 University Conferences And Events / Special Use Facilities									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
5.2.008	100414	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3		For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.		14	100414	C
1.1	100416	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.				N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1008 HPLA / Government Relations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
1.1.038	100807	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		20	100807	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1014 University Conferences And Events / Administration									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.070	101406	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.		47	101406	D	
4.1.001	101410	Accounts Payable Information This series documents an agency's expenditures and purchases. Records may include but are not limited to: departmental purchase orders, contract release orders, balance sheets, bills, invoices, invoice vouchers, journal voucher/entry forms, and related documentation and correspondence.	FE	9	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		47	101410	C	
5.2.014	101413	Inventory - Annual Physical Property, equipment, and supply verification.	FE+3	0	FE+3			48	101413	D	
1.1	101414	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.				N	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value						Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal				Amendment Codes (Field 12) N - New D - Deleted C - Changed	
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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1014 University Conferences And Events / Administration
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	101415	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O				N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1015 University Conferences And Events / University Events									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	101503	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O		49	101503	D	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 1016 HPLA / Osher Lifelong Learning Institute

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
	101620	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	AC+2	5	AC+7	AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).		58	101620	C
	101621	Registration Records / Special Interest Courses This series documents receipt of student registration / enrollment in special interest courses (arts and crafts, dance, music and other educational type classes). Records may include but are not limited to: registration form, miscellaneous instructional material, and related correspondence.	AC+2	3	AC+5	AC = After term in which the course is taught.		58	101621	C

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1017 1115 Waiver Operations									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks			Pg No.	AIN	
1.1.043	101705	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				60	101705	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2001 Information Security								
723										
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.043	200109	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			66	200109	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2004 Audit Services Consulting And Investigation								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.038	200406	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		72	200406	C
1.1.043	200407	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			72	200407	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2005 Finance / Government Reimbursement									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
4.2.005	200509	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+2	7	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		76	200509	C	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal N - New D - Deleted C - Changed



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2009 OLRA / Office Of Technology Transfer									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1	200903	Patents This records series pertains to the form of intellectual property protection that may be obtained for processes, machines, manufactured articles, and compositions of matter discovered by a University employee within the scope of his or her employment. Records may include but are not limited to a copy of the patent (including the official copy issued by the United States Patent and Trademark Office) and all of the documents related to the patent application, correspondence between university officials responsible for obtaining patent protection and the inventors, and correspondence among such university officials, the inventors, and outside patent counsel.	AV	AC+1	AC+1	O		78	200903	C	
1.1.043	200908	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			80	200908	C	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2013 Finance / Controller / Asset Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
1.1.043	201305	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			91	201305	C
5.1.001	201312	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC+1	6	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item numbers 3.1.035 for performance bonds, 5.3.007 for bid documentation, 5.2.028 for building construction contracts, and 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		93	201312	C

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AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2014 Finance / Controller / General Accounting									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1.043	201408	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			97	201408	C	
5.2	201435	Disaster Validation / Mitigation Reimbursement Records This series documents the events and damages to institutional property due to a storm or disaster related event affecting facilities and equipment within the jurisdiction of the institution. This series may include but is not limited to: a scope of work and cost to repair back to pre-storm condition, an executive summary, storm history, system or building description, damage validation methodology, damage validation conclusion, numerous exhibits including photographs, specifications, location or plan drawings and Rebuild in Kind project worksheets detailing associated costs, related documentation and correspondence.	AV	AC+3	AC+3	AC = Date FEMA closes Disaster 1791.				N	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2016 BOF / Supply Chain / Accounts Payable
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
4.2.005	201608	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+1	8	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are comingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		106	201608	C
3.2.003	201613	Federal Tax Records This series provides a summary record of data reported on the annual wage and tax statements for agency employees, corrections to these statements, and a record of transmittal to the federal government. Records include print-outs from the agency by year in social security number order which include names, social security numbers, tax subject earnings, other data required by law, summary transmittal forms, and FICA records. Forms may include IRS forms W-2, W-2C, W-3, W-3C and 990-T.	AC+6	0	AC+6	AC = Tax due date, date claim is filed, or date tax is paid whichever is later. 26 CFR 31.6001-1(e)(2). IRC Section 6531 Title 26-Internal Revenue Code.				N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON									
		RMAN: 2017 Marketing And Communications									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1	201719	Photographs And Negatives - Historically Significant Documents the collection of photographs or negatives created by or for an agency. Includes events that document the agency's organization, special ceremonies, occasions, events and facilities. May include commercially available material.	AV	0	AV	I				N	
1.1	201720	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.			N	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON									
		RMAN: 2018 Information Services									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.038	201806	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		115	201806	C	
1.1.043	201808	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			116	201808	C	
2.1.009	201816	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	0	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		118	201816	C	

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON									
		RMAN: 2018 Information Services									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
4.2.005	201828	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+1	8	FE+9			121	201828	C	

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2019 HR / Employment									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
3.1.026	201912	Criminal History Checks Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC	0	AC	AC = End of probationary period or is used for authorized purpose. Government Code, 411.094.		129	201912	C	

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2020 HR / Workforce Technology and Analytics									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.038	202003	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		130	202003	C	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2021 BOF / Supply Chain / Procurement								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.008	202102	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	0	2			133	202102	C
1.1.043	202103	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			133	202103	C
1.1.067	202106	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.	134	202106	C
4.2.005	202108	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+1	8	FE+9		UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.	135	202108	C

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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks			Pg No.	AIN	
5.1.001	202110	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC+1	8	AC+9	AC = Expiration or termination of the instrument according to its terms. SEE item numbers 3.1.035 for performance bonds, 5.3.007 for bid documentation, 5.2.028 for building construction contracts, and 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855. Retention is based on department policy.			135	202110	C
5.3.007	202112	Bid Documentation - FY16 Or Later Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms or decision not to proceed with bid.			136	202112	C
4.7.012	202114	Signature Authorizations Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	US+FE+3	0	US+FE+3						N
5.3	202115	Procurement Card Records A record of purchases made with a University of Texas Medical Branch Procurement Card. This records series may include but is not limited to: Procurement Card Transaction Log, original charge slip, sales receipt, packing slip, invoice, or any other information related to the purchase.	FE+3	0	FE+3						N

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 2021 BOF / Supply Chain / Procurement

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
5.3.007	202116	Bid Documentation - FY15 or Earlier Includes bid requisitions / authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation / evaluations associated with a contract executed, renewed, or amended on or before August 31, 2015	FE+3	0	FE+3					N
5.3.007	202117	Bid Documentation - Unsuccessful Bids This record series consists of information relative to bids that were not awarded. These records may include but is not limited to: legal advertisements, requests for proposal, technical specifications, invitations to bid, bid tabulations, bid responses and related correspondence.	AC+2	0	AC+2	AC = Date of notification of denial or date of withdrawal, as applicable.				N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2022 OLRA / Office Of Legal And Regulatory Affairs									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1.038	202210	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		139	202210	C	
4.2.005	202222	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		142	202222	C	
5.1.001	202228	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item numbers 3.1.035 for performance bonds, 5.3.007 for bid documentation, 5.2.028 for building construction contracts, and 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		143	202228	C	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2023 BOF / Business Operations And Facilities									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	202305	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	1	5	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.	146	202305	C	
1.1.038	202311	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC		AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.	147	202311	C	
5.2.002	202341	Building Construction Project Files Planning, design, and construction records; accepted and rejected bids; correspondence; etc.	AC+1	9	AC+10	O	AC = Completion of project. CAUTION: If the project is for the Galveston National Laboratory (GNL), records are required to be maintained Completion of project +20 years per department policy. SEE ALSO item numbers 5.2.003 and 5.2.028.	154	202341	C	
5.2.008	202346	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3		For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.	155	202346	C	
5.3	202352	Procurement Card Records A record of purchases made with a University of Texas Medical Branch Procurement Card. This records series may include but is not limited to: Procurement Card Transaction Log, original charge slip, sales receipt, packing slip, invoice, or any other information related to the purchase.	FE	3	FE+3			156	202352	D	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.024	202357	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.				N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
4.2.005	202408	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+2	7	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		160	202408	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
1.1.007	202501	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	0	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 University 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.				N	
1.1.008	202502	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				N	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2025 BOF / Supply Chain / ADMC / Materials Management Hospital Operations
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.013	202503	Calendars, Appointment Books 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	0	CE+1	O				N
1.1.043	202504	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1					N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2025 BOF / Supply Chain / ADMC / Materials Management Hospital Operations									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1.057	202505	<p>Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series.</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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				N	
1.1.063	202506	<p>Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					N	
5.1.015	202507	<p>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.</p>	1	0	1					N	
5.2.020	202508	<p>Supply Usage Records This series is used to document supply usage and charges. This series may include but is not limited to: stock printouts, inventory reports, and related documentation and correspondence.</p>	FE+1	0	FE+1					N	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed



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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
5.3.005	202509	Packing Slips This series documents the receipt of equipment, supplies, other items, and services from vendors. The series includes: packing slips, shipping and container lists, and bills of lading.	AV	0	AV					N
5.4.010	202510	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2032 BOF / EHS / Biological Safety Program									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	203205	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			166	203205	C	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
5.2.008	203309	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.		174	203309	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2034 BOF / EHS / Occupational Safety And Fire Prevention									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks			Pg No.	AIN	
1.1.043	203405	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				179	203405	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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PM - Permanent		



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		RMAN: 2035 BOF / EHS / Environmental Protection Management									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	203504	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			183	203504	C	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2037 HR / Employee Injury And Illness Management									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1.043	203702	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			191	203702	C	
5.4	203707	Case Management Files This records series tracks and monitors days away from work for employee/worker injuries that occur on the job and as a direct result of the duties assigned to the specific job position. Records may include but are not limited to: Claim Referral Form, physician's notes, medical case management report, and related correspondence.	CE+1	4	CE+5			192	203707	C	
5.4	203708	Temporary Modified Duty Records This records series documents injured workers, who have been released to perform work with limitations, back to the workplace. Records may include but are not limited to: request for temporary job modification, physicians notes, job description, modified duty work assignments, and related correspondence. These records are not personnel records and must be kept physically separate from employee personnel records.	CE+1	4	CE+5	IHOP 3.8.5.		193	203708	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1.043	203809	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			196	203809	C	
1.1.067	203812	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	7	0	7	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O. Retention is based on department policy and the Clery Act requirements as listed in the Handbook for Campus Safety and Security Reporting.		197	203812	C	
	203826	Building Unlocked Door Reports Periodic reports of unlocked doors conducted by the University Police and sent to Building Coordinators.	AV	0	AV			200	203826	D	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
1.1.008	203901	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	0	2			204	203901	D	
1.1.013	203902	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.		204	203902	D	
1.1.024	203903	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.		204	203903	D	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1.040	203904	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: AC = Until superseded or no longer needed for reference.		204	203904	D	
1.1.057	203905	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).		205	203905	D	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.3.001	203906	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	AC+2			205	203906	D	
1.3.002	203907	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O		206	203907	D	
3.3.020	203908	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1			206	203908	D	
4.5.002	203910	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3			206	203910	D	

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Amendment Codes (Field 12)

N - New
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
5.1.014	203911	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	0	US+1	AC = Patient last seen. Retention is based on department policy.		206	203911	D
	203912	Health Assessment This series documents the provision of health-related services, for example: cholesterol screening, blood pressure testing, etc. This series may include but is not limited to: tests, goals and objectives, diagnostic reports, questionnaires, permission to forward the information to the patient's health care provider, and related data.	AC+5	0	AC+5			207	203912	D

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
1.1.043	204006	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			209	204006	C
4.7.008	204020	Grant Records / Proposals 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+4	0	AC+4	AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule). Government Code, 441.1855. CAUTION: Retention requirements may vary depending on the specific federal funding agency. Agencies must ensure that records are retained for the appropriate retention period. Retention is based on department policy.		213	204020	C

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Amendment Codes (Field 12)

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			Agency	Storage	Total			9. Remarks	106 No.	
1.1.006	204201	Complaint Records Complaints received by the agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+2	0	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.				N
1.1.007	204202	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	0	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 University 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.				N
1.1.008	204203	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.013	204204	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				N
1.1.024	204205	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.				N
1.1.040	204206	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: AC = Until superseded or no longer needed for reference.				N
1.1.043	204207	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1						N

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			Agency	Storage	Total	9. Remarks	106 No.	Pg No.	AIN		
1.1.057	204208	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				N	
1.1.063	204209	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					N	
1.1.067	204210	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				N	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.070	204211	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				N
1.1	204212	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.				N
1.1	204213	Professional Committee Working Files Internal and external professional committees and work groups. Includes notes, work papers, reference materials, research, committee appointments, charters, and any other supporting documentation.	AC	0	AC		AC = Termination of service on committee, disbanding of committee, or records of committee no longer administratively valuable to the university. CAUTION: If the committee is funded by a grant, records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				N
1.1	204214	Fitness Center Member File This series documents personal information on each member of the Wellness Center. This includes: registration form, waiver of liability, health assessment, wellness prescriptions, health history, medical clearance, and any other correspondence and supporting documentation.	AC+5	0	AC+5		AC = Termination of membership.				N

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204215											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1	204215	Training Attendance And Evaluation Records Includes registration, class rosters, class evaluations, schedules/agendas, sign-in sheets, and other records that document the administration of training and offered for internal employees and external individuals we regulate and serve.	FE+3	0	FE+3		CAUTION: If attendance or evaluation records are to be maintained as a part of a CEU administration program, Joint Commission, accreditation, a grant, to provide supporting documentation for an employee's evaluation, or any other reason, the retention period may be longer. Be sure to verify program or training requirements.				N
1.3.001	204216	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				N
1.3.002	204217	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O					N

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I - Retain in Archives
O - Review Required Before Disposal

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			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
3.1	204218	Fitness And Wellness Instructor File This series documents all class information for each fitness and wellness instructor. This may include but is not limited to: sign-in logs, course rosters, skills checklists, written tests of students and results, instructor evaluations, and any other related correspondence or supporting documentation.	AC+3	0	AC+3	AC = Instructor no longer teaching classes.				N	
3.2.008	204219	Direct Deposit Application/Authorizations Applications and authorizations from employees giving permission to the agency to directly deposit payroll checks into a specified bank account.	US	0	US					N	
3.3.020	204220	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					N	
3.4.006	204221	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				N	
3.4.007	204222	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					N	
4.4	204223	Accounts Receivable Records This series is used to provide a record of billings and collections for the programs or services provided. It is also used to provide a record of customers owing monies and to reconcile the account. Records may include but are not limited to: account edit sheets, payment methods, invoices, journal vouchers, billing detail, receipts or receipt books, reconciliations, and related documentation and correspondence.	FE+3	0	FE+3					N	

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			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
4.5.002	204224	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				N	
4.7	204225	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				N	
5.1.004	204226	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				N	
5.2.008	204227	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.				N	

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			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
5.4.011	204228	Visitor Control Registers Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.	3	0	3						N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
1.1.038	204608	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		218	204608	C	

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			Agency	Storage	Total			9. Remarks	Pg No.	
5.1.001	205505	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item numbers 3.1.035 for performance bonds, 5.3.007 for bid documentation, 5.2.028 for building construction contracts, and 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		230	205505	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
5.2.008	205629	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.		239	205629	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
1.1.038	206406	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		242	206406	C
1.1.043	206407	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			242	206407	C
5.1.001	206414	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item numbers 3.1.035 for performance bonds, 5.3.007 for bid documentation, 5.2.028 for building construction contracts, and 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		245	206414	C
1.1	206417	Training Attendance And Evaluation Records Includes registration, class rosters, class evaluations, schedules/agendas, sign-in sheets, and other records that document the administration of training and offered for internal employees and external individuals we regulate and serve.	FE+3	0	FE+3	CAUTION: If attendance or evaluation records are to be maintained as a part of a CEU administration program, Joint Commission, accreditation, a grant, to provide supporting documentation for an employee's evaluation, or any other reason, the retention period may be longer. Be sure to verify program or training requirements.				N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.008	206801	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	0	2			253	206801	D
1.1.013	206802	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.		253	206802	D
1.1.043	206803	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			253	206803	D

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks	106 No.	Pg No.	AIN		
1.1.057	206804	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>		254	206804	D	
1.1.065	206805	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>		254	206805	D	
1.1.067	206806	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	O	<p>ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>		254	206806	D

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
 AV - Administrative Value
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 PM - Permanent
 US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
 O - Review Required Before Disposal

Amendment Codes (Field 12)

N - New
 D - Deleted
 C - Changed



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2068 HR / Employee Assistance Program									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.070	206807	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.	255	206807	D	
1.3.001	206808	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).	255	206808	D	
1.3.002	206809	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O		255	206809	D	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2068 HR / Employee Assistance Program									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
3.1	206810	Client Counseling Records / Professional This records series documents employee assistance counseling provided by the University, does not include Psychiatric or Psychological services. This records series may include but is not limited to: Intake forms, assessment forms, consent and release of information forms, supervisor referral forms, emails and follow up notes, sometimes includes a copy of drug test results (breath and urine) and alcohol testing results.	AC+5	0	AC+5	AC = Termination of counseling. If the client is a minor, the record retention period is extended until three years after the minor reaches the age of majority. Texas State Board of Examiners of Professional Counselors about the profession - Code of Ethics §681.41 General Ethical Requirements.		256	206810	D	
4.1.002	206811	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.		256	206811	D	
4.5.002	206812	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.		256	206812	D	

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Amendment Codes (Field 12)

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2068 HR / Employee Assistance Program									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
5.1.001	206813	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item numbers 3.1.035 for performance bonds, 5.3.007 for bid documentation, 5.2.028 for building construction contracts, and 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		257	206813	D	
5.1.004	206814	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.		257	206814	D	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2070 AS / Office Of Institutional Effectiveness									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1	207001	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+10	0	US+10	O ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.		262	207001	C	
1.1.038	207009	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		264	207009	C	

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2074 HR / Employee Relations And Corporate									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
3.2.007	207418	Unemployment Compensation Records	AC+5	0	AC+5	AC = After case closure.		277	207418	C	
4.5.002	207422	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+1	2	FE+3	Monthly reconciliation and approval of expenses required by internal audit.		278	207422	C	
3.1	207424	Exclusion Checks A check to see if all providers are eligible to participate in the state and federal healthcare programs (Medicare/Medicaid) and the procurement process. The exclusion check provides a monthly report of those who cleared and did not clear the exclusion check process.	AC+10	0	AC+10	AC = Termination of last Medicare Advantage (MA) Plan contract or termination of employment, whichever longer.				N	
3.1	207425	Client Counseling Records / Professional This records series documents employee assistance counseling provided by the University, does not include Psychiatric or Psychological services. This records series may include but is not limited to: Intake forms, assessment forms, consent and release of information forms, supervisor referral forms, emails and follow up notes, sometimes includes a copy of drug test results (breath and urine) and alcohol testing results.	AC	5	AC+5	AC = Termination of counseling. If the client is a minor, the record retention period is extended until three years after the minor reaches the age of majority. Texas State Board of Examiners of Professional Counselors about the profession - Code of Ethics §681.41 General Ethical Requirements.				N	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2074 HR / Employee Relations And Corporate									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
4.1.002	207426	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.					N
5.1.001	207427	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item numbers 3.1.035 for performance bonds, 5.3.007 for bid documentation, 5.2.028 for building construction contracts, and 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.					N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2078 University Conferences And Events / Catering								
723										
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
5.1.014	207806	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	0	US+1			286	207806	C
4.6.002	207810	Reconciliations	FE+3	0	FE+3			286	207810	D

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2085 HR / Business Operations									
Code 723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
1.1.038	208505	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		296	208505	C	
3.1	208510	Personnel Records A record that consists of any information gathered by the University relating to the: individual's application; qualifications; employment hire packets, promotions, demotions, transfers; salary; performance evaluation forms; and suspension, disciplinary actions, and termination of employment. Contents of the Personnel Record are subject to the following: Institutional Handbook Of Operating Procedures policy 3.1.2 Employee Files, policy 5.5.6 Faculty Credentials, and/ or the Bylaws and Rules and Regulations of the Medical Staff as applicable.	AC	7	AC+7	AC = Termination of UTMB employment.		298	208510	C	
3.1.027	208512	Training and Educational Achievement Records (Individual) Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC+5	0	AC+5	AC = Termination of employment. Excludes Medical Providers and the Medical Staff Services Office. SEE ALSO series number 3.1.027a for training records for providers and medical staff services.		299	208512	C	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2085 HR / Business Operations									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
3.1	208529	Faculty Credentialing File This records series documents the faculty members work history and appointment to the Medical Staff. It may include but not be limited to the following information: Texas Standardized Credentialing Application, UTMB Hospital Addendum, passport style photos, current copy of Texas State Medical License certificate (if applicable), current copy of DEA certificate (if applicable), current copy of DPS certificate (if applicable), clinical privileges, Medicare Acknowledgement Statement, Delegation of Prescriptive Authority Form (if applicable), Current CV, Copy of Board Certification (if applicable), supporting documentation for CME or CEU credits, Malpractice Liability Coverage (if providing own coverage), and any other necessary credentialing information.	AC+10	0	AC+10	AC = Termination of last Medicare Advantage (MA) Plan contract or termination of employment, whichever longer. CAUTION: This records series is a separate file from the employee's personnel file. SEE ALSO item number 3.1.j for employee's personnel record.					N
3.1.027	208530	Training and Educational Achievement Records (Providers And Medical Staff Services) Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of Medical Providers and the Medical Staff Services Office.	AC+10	0	AC+10	AC = Termination of last Medicare Advantage (MA) Plan contract or termination of employment, whichever longer. CAUTION: This series is only for Medical Providers and the Medical Staff Services Office per the Medicare Advantage Plan Contract. SEE ALSO 3.1.027 for all other employee training and educational achievement records.					N

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2086 HR / Compensation									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	208605	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			303	208605	C	
3.1.023	208610	Position/Job Descriptions Job descriptions, including all associated task or skill statements, for positions in an agency.	AC+4	0	AC+4	AC = Until superseded or job eliminated. 40 TAC 815.106(i).		304	208610	C	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2087 Office Of The Executive Vice President / Business And Finance									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
1.1.038	208705	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		307	208705	C	
3.3.023	208710	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	0	FE+3			308	208710	D	
4.2.005	208713	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		309	208713	C	
4.6.002	208715	Reconciliations	FE+3	0	FE+3			309	208715	D	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3001 Health System Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1	300102	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV			310	300102	D
3.1.018	300111	Grievance Records Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC+2	0	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.		313	300111	D
3.4.006	300112	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).		313	300112	D
5.1.004	300116	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.		313	300116	D

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.007	300301	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	0	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 University 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.		317	300301	D
1.1.008	300302	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.		317	300302	D

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PM - Permanent		



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3003 Finance / Financial Planning And Performance Management									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.013	300303	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.		318	300303	D
1.1.023	300304	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I	Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: AC = Until superseded.		318	300304	D

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3003 Finance / Financial Planning And Performance Management									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks	106 No.	Pg No.	AIN		
1.1.057	300305	<p>Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series.</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; 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	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).		319	300305	D	
1.1.063	300306	<p>Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1			319	300306	D	
1.1.067	300307	<p>Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.</p>	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.		319	300307	D	

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3003 Finance / Financial Planning And Performance Management									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks			Pg No.	AIN	
3.3.023	300308	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	0	FE+3				320	300308	D
4.6.002	300309	Reconciliations	FE+3	0	FE+3				320	300309	D

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
5.1.001	300501	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item numbers 3.1.035 for performance bonds, 5.3.007 for bid documentation, 5.2.028 for building construction contracts, and 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		321	300501	C	
1.1.043	300508	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			322	300508	C	

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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3006 Pastoral Care
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.038	300607	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		326	300607	C
5.1.001	300620	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item numbers 3.1.035 for performance bonds, 5.3.007 for bid documentation, 5.2.028 for building construction contracts, and 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		330	300620	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
1.1	300801	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	1	5	6	O ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.		A2-37	300801	C	
4.2.005	300823	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		A2-44	300823	C	
5.1.001	300829	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item numbers 3.1.035 for performance bonds, 5.3.007 for bid documentation, 5.2.028 for building construction contracts, and 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		A2-45	300829	C	

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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
4.2.005	300921	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	9	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		345	300921	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.065	301106	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	AV			353	301106	D
1.1.067	301107	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.	353	301107	D
3.3.023	301110	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	0	FE+3			354	301110	D
4.2.005	301114	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+1	8	FE+9		UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.	355	301114	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
5.1.004	301115	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.		355	301115	D	
5.2.010	301117	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.		356	301117	D	
	301118	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3			356	301118	D	
	301119	Medical Logs / Tissue Implant Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	1	9	10	Retention is based on department policy.		356	301119	C	
5.2.018	301121	Quality Control Reports	2	0	2					N	

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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
5.2.011	301718	Equipment Warranties	AC+1	0	AC+1	AC = Expiration of warranty.		361	301718	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	301904	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US	1	US+1				363	301904	C
4.2.005	301913	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	9	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.			365	301913	C
5.2.008	301916	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA	3	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.			365	301916	C

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3028 Nursing Services / Critical Care / Extracorporeal Membrane Oxygenation								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.043	302803	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			369	302803	C

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723										
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.043	303004	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			374	303004	C
4.5.002	303015	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				N

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3035 Office Of Graduate Medical Education									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	303507	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				382	303507	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	303607	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				387	303607	C
8.1	303630	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	AC	0	AC	AC = 10 years or patient reaches the age of 21, whichever longer. Retention is based on department policy.					N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
1.1.038	303710	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		396	303710	C	
1.1.043	303712	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			397	303712	C	
4.5.002	303726	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3		Monthly reconciliation and approval of expenses required by internal audit.				N

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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
4.2.005	303815	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	9	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				N	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
5.1.001	304509	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item numbers 3.1.035 for performance bonds, 5.3.007 for bid documentation, 5.2.028 for building construction contracts, and 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		407	304509	C	

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3046 Cardiac Catheterization Laboratory									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
4.2.005	304611	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+2	7	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		411	304611	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
4.1.002	304704	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.		415	304704	D	
5.2.008	304706	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.		415	304706	C	
5.4.007	304713	Hazardous Materials Training Records Records of training given to employees in an agency hazard communications program.	5	0	5	Texas Health and Safety Code, 502.009(g).				N	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
2.1.009	304905	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	0	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		424	304905	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
5.2.008	305114	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.		434	305114	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
1.1.043	305202	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			436	305202	C	
4.2.005	305207	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+2	7	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		437	305207	C	
5.2.008	305216	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.		A1-46	305216	C	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3053 Pathology / Clinical Services / Blood Bank									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
5.1.001	305302	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item numbers 3.1.035 for performance bonds, 5.3.007 for bid documentation, 5.2.028 for building construction contracts, and 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		440	305302	C	
1.1.043	305305	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+5	0	US+5	Retention is based on American Association of Blood Bank (AABB) and Standards for Blood Banks and Transfusion Services (BB/TS), 28th Edition reference standard 6.2c - Retention of Donor / Unit Records.		441	305305	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
5.1.001	305410	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item numbers 3.1.035 for performance bonds, 5.3.007 for bid documentation, 5.2.028 for building construction contracts, and 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		A2-53	305410	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
5.2.011	305507	Equipment Warranties	AC+1	0	AC+1	AC = Expiration of warranty.		450	305507	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	305601	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.		453	305601	D	
1.1.008	305602	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.		453	305602	D	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		106 No.	Pg No.	AIN	
1.1.057	305603	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>			453	305603	D
1.1.070	305604	<p>Agency Rules, Policies, and Procedures - Final</p> <p>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.</p>	AC+3	0	AC+3	<p>AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>			454	305604	D

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			Agency	Storage	Total			9. Remarks	Pg No.	
5.2.010	305605	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.		454	305605	D
5.4.008	305606	Hazard Communication Plans	US+5	0	US+5	Texas Health and Safety Code, 502.009(g).		454	305606	D
5.4.009	305607	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).		454	305607	D
5.4.010	305608	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.		454	305608	D
8.1	305609	Laboratory Test Requests This records series consists of all requisitions authorizing a laboratory to perform tests on a sample. This series may include but is not limited to: the patient's name or identification number, the name or identifier of who ordered the test, the date and time of the specimen collection, the source of the specimen, the patient's gender and age or date of birth, physician's signature, and pertinent clinical information. Test results received from external reference labs may be included.	1	9	10	Retention is based on department policy.		455	305609	D

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			Agency	Storage	Total			9. Remarks	Pg No.	
	305610	Quality Assurance Records / Health Services This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections, reports by the staff, quality assurance committee notes, staff reviews and related correspondence.	FE+2	1	FE+3			455	305610	D
	305611	Laboratory Case Log The records series consists of a log of specimens received daily from patients which records the accession number, name of patient, requesting doctor, collection date, patient type, birth date, patient number.	2	0	2			A1-49	305611	D

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1	305701	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.				N	
1.1	305702	Professional Committee Working Files Internal and external professional committees and work groups. Includes notes, work papers, reference materials, research, committee appointments, charters, and any other supporting documentation.	AC	0	AC	AC = Termination of service on committee, disbanding of committee, or records of committee no longer administratively valuable to the university. CAUTION: If the committee is funded by a grant, records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				N	

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			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.007	305703	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	0	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 University 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.				N	
1.1.008	305704	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				N	

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			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.013	305705	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				N
1.1.023	305706	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I	Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: AC = Until superseded.				N

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1.1.057	305707	<p>Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series.</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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>					N
1.1.063	305708	<p>Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1						N
1.1.067	305709	<p>Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.</p>	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.					N

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1.1.070	305710	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				N
3.3.020	305711	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					N
3.3.027	305712	Aptitude and Skills Tests Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US+2	0	US+2	29 CFR 1602.49 (State Universities). CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.				N
3.3.028	305713	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	0	2	29 CFR 1602.49 (State Universities).				N
3.4.006	305714	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				N
3.4.007	305715	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					N

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4.2.005	305716	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.					N
4.5.002	305717	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.					N
5.1.004	305718	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.					N
5.1.012	305719	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	0	US+3						N
5.2.005	305720	Calibration Records (Equipment or Instrument)	10	0	10						N

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5.2.008	305721	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.				N	
5.2.009	305722	Equipment Inventory Detail Report Forms Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE+3	0	FE+3					N	
5.2.010	305723	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				N	
5.2.011	305724	Equipment Warranties	AC+1	0	AC+1	AC = Expiration of warranty.				N	
5.4.009	305725	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				N	
5.4.010	305726	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				N	

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8.1	305727	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3						N
8.1	305728	Disclosure of Protected Health Information This records series documents disclosure of Protected Health Information (PHI) in accordance with the Health Information Portability and Accountability Act (HIPAA) compliance regulations.	FE+6	0	FE+6						N
8.1	305729	Laboratory Test Requests This records series consists of all requisitions authorizing a laboratory to perform tests on a sample. This series may include but is not limited to: the patient's name or identification number, the name or identifier of who ordered the test, the date and time of the specimen collection, the source of the specimen, the patient's gender and age or date of birth, physician's signature, and pertinent clinical information. Test results received from external reference labs may be included.	7	0	7						N
8.1	305730	Quality Assurance Records / Blood Bank This records series includes the management and effectiveness review of the blood bank quality system. Records may include but are not limited to: organization, resources, equipment, supplier and customer issues, process control, documents and records, deviations non conformances and adverse events, internal and external assessments, process improvement through corrective and preventive action, facilities and safety, and related correspondence.	10	0	10	AABB, Standards for Blood Banks and Transfusion Services 6.2C, 28th ed 2012.					N

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8.1	305731	Licensure Records / Blood Bank This series documents the professional and regulatory issuance of credentials to facilities providing services within the blood center. This series may include but is not limited to: license applications, FDA482, FDA356H, and FDA356.7 and related correspondence.	PM	0	PM					N
8.1	305732	Quality Assurance Records / Health Services This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections, reports by the staff, quality assurance committee notes, staff reviews and related correspondence.	FE+3	0	FE+3					N
8.1	305733	Final Laboratory Test Reports This records series consists of the legally reproduced copies of each test result and preliminary reports on pathology testing. Documentation includes all the information recorded on the test requisition plus the specimen's accession number, the date and time the lab received the specimen, the condition and disposition of samples which do not meet the lab's acceptance standards, the records and dates of performance of each step in the patient testing leading to and including the final report.	10	0	10	42 CFR 493.1101.				N
8.1	305734	Laboratory Case Log The records series consists of a log of specimens received daily from patients which records the accession number, name of patient, requesting doctor, collection date, patient type, birth date, patient number.	2	0	2					N

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8.1	305735	Processing Records: Blood Bank This records series consists of blood bank records which monitor the process by which blood products are made available for use. Processing records include: blood processing, including the results and interpretation of all infectious disease tests and re-tests; component preparation, including all relevant dates and times; separation and pooling of recovered plasma; the centrifugation and pooling of source plasma; and the labeling of the product including the initials of the processor.	10	0	10						N
8.1	305736	Blood Bank Donor Records Donor record cards including histories, examinations, consent, reactions, donor selection, results of required tests performed on platelets, plasma and red cell pheresis donors, permanent and temporary deferrals, investigation and follow-up, therapeutic bleedings, immunization, and blood collection.	10	0	10						N
8.1	305737	Solid Organ And Tissue Tracking Records Records related to the receipt and disposition of all deceased donor and external living non-university donor organs and tissues transplanted within the hospital. The record may include but is not limited to: solid organ or tissue type, the donor id number, the name and license number of the procurement or distribution facility which supplied the tissue/organ, recipient name and id number, name of transplanting doctor, date the organ/tissue was received by the hospital, and the date of the transplant. This information may be provided quarterly to an organ or tissue procurement service.	30	0	30	O					N

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8.1	305738	Requests For Blood Component and Lab Tests This series documents physician orders for laboratory tests in order to obtain blood components. This series may include but is not limited to: name of patient, unique identifiers, date; physician's signature, test(s) ordered and results, and cord blood testing.	10	0	10	21 CFR 606.160 and AABB Standards BB/TS 6.2b 26th Edition. Standards for Blood Banks and Transfusion Services, reference standard 6.2a. AABB, Standards for Blood Banks and Transfusion Services 6.2C,28th ed 2012.				N
8.1	305739	Indefinite Deferral List This records series consists of lists of potential donors who have been deferred indefinitely due to abnormal test results.	PM	0	PM					N
8.1	305740	Serologic Problems This records series includes but is not limited to: records related to transfusion reactions, antibody workups, special transfusion requirements, and difficulty in blood typing.	10	0	10					N

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1.1.043	305907	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				457	305907	C

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3.4.007	306205	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3				473	306205	D
1.1	306208	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.				N
5.2.010	306209	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA		Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				N
5.4.008	306210	Hazard Communication Plans	US+5	0	US+5		Texas Health and Safety Code, 502.009(g).				N
5.4.009	306211	Workplace Chemical Lists	30	0	30		Texas Health and Safety Code, 502.005(d).				N

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			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
5.4.010	306212	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				N
8.1	306213	Quality Assurance Records / Health Services This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections, reports by the staff, quality assurance committee notes, staff reviews and related correspondence.	FE+3	0	FE+3					N
8.1	306214	Laboratory Case Log The records series consists of a log of specimens received daily from patients which records the accession number, name of patient, requesting doctor, collection date, patient type, birth date, patient number.	2	0	2					N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	
PM - Permanent US - Until Superseded		



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3063 SOM / Institute for Translational Sciences									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
5.2.008	306321	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001. AC = Expiration of warranty.		479	306321	C	
5.2.011	306323	Equipment Warranties	AC+1	0	AC+1			480	306323	C	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months US - Until Superseded	
PM - Permanent		



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3064 Pathology / Anatomic Pathology / Cytopathology									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
5.2.008	306416	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.		A2-54	306416	C	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months US - Until Superseded	
PM - Permanent		



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3065 Neurodiagnostics											
723		6. Record Series Title			7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend.
4. Records Series Item No.	5. Agency Item Number				Agency	Storage	Total	9. Remarks		106 No.	Pg No.	AIN	Type
1.1.043	306505	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.			US+1	0	US+1				486	306505	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal N - New D - Deleted C - Changed



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3071 HR / Employee Health Center													
2. Agency Code		5. Agency Item Number		6. Record Series Title			7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend. Type
723		307112		Disclosure of Protected Health Information This records series documents disclosure of Protected Health Information (PHI) in accordance with the Health Information Portability and Accountability Act (HIPAA) compliance regulations.			Agency	Storage	Total	9. Remarks		106 No.	Pg No.	AIN	N
							FE+6	0	FE+6						

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3074 Pharmaceutical Services									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
4.2.005	307413	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	9	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		503	307413	C	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3076 Radiation Oncology									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	307610	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				511	307610	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3077 ADMC / Office of Epidemiology and Corporate Education													
2. Agency Code		5. Agency Item Number		6. Record Series Title			7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend. Type
Code		Number		Record Series Title			Agency	Storage	Total	9. Remarks		106 No.	Pg No.	AIN	Type
723		307701		Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.			FE+3	0	FE+3	O ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.					N
1.1.007		307702		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	0	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 University 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.					N
1.1.008		307703		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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.					N

Retention Codes (Field 7)										Archival Codes (Field 8)			Amendment Codes (Field 12)	
AC - After Closed, Terminated, Completion, Expiration, Settled			CE - Calendar Year End			LA - Life Of Asset		PM - Permanent		I - Retain in Archives	N - New	D - Deleted		
AV - Administrative Value			FE - Fiscal Year End			MO - Months		US - Until Superseded		O - Review Required Before Disposal	C - Changed			



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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.013	307704	Calendars, Appointment Books 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	0	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 University 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>				N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed



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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		106 No.	Pg No.	AIN	
1.1.057	307705	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>					N
1.1.067	307706	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>					N
1.1.070	307707	<p>Agency Rules, Policies, and Procedures - Final</p> <p>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.</p>	AC+3	0	AC+3	<p>O AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>					N

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AC - After Closed, Terminated, Completion, Expiration, Settled
 AV - Administrative Value
 CE - Calendar Year End
 FE - Fiscal Year End
 LA - Life Of Asset
 MO - Months
 PM - Permanent
 US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
 O - Review Required Before Disposal

Amendment Codes (Field 12)

N - New
 D - Deleted
 C - Changed



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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
3.3.027	307708	Aptitude and Skills Tests Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US+2	0	US+2	29 CFR 1602.49 (State Universities). CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.				N	
3.3.028	307709	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	0	2	29 CFR 1602.49 (State Universities).				N	
3.3.030	307710	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	0	US+2	CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.				N	
3.4.006	307711	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				N	
3.4.007	307712	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					N	
4.5.002	307713	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				N	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3077 ADMC / Office of Epidemiology and Corporate Education									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks			Pg No.	AIN	
8.1	307714	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3						N
8.1	307715	Infection Control Training Records This series documents employee participation in infection control training courses or programs. Records may include but are not limited to: course agendas, descriptions, and syllabi; course outlines and materials; enrollment and attendance records; training requests and authorizations; certificates of completion; and related documentation and correspondence.	5	0	5						N
9.1.044	307716	Student Folders -- Visiting Students A record of students who are pursuing a degree from another institution but who take some University courses, do a clerkship, or research studies at the University.	AC+6	0	AC+6	I	AC = Date of last attendance.				N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3079 Rehabilitation Services / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
1.1.038	307908	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		520	307908	C
1.1.043	307910	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			521	307910	C
4.2.005	307924	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		524	307924	C
5.1.001	307926	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item numbers 3.1.035 for performance bonds, 5.3.007 for bid documentation, 5.2.028 for building construction contracts, and 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		524	307926	C

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PM - Permanent
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Archival Codes (Field 8)

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Amendment Codes (Field 12)

N - New
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3079 Rehabilitation Services / Administration								
723										
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
5.2.008	307928	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001. AC = Expiration of warranty.		525	307928	C
5.2.011	307930	Equipment Warranties	AC+1	0	AC+1			525	307930	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
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		RMAN: 3084 Laundry									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
5.2.011	308408	Equipment Warranties	AC+1	0	AC+1	AC = Expiration of warranty.			528	308408	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3086 Patient Placement Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.043	308604	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			530	308604	C
3.1.014	308607	Employment Selection Records May include but not be limited to: 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	0	2	29 CFR 1602.49(a) [State Universities]. CAUTION: Does not include criminal history checks. SEE item number 3.1.026.		531	308607	D
5.2.008	308612	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.		532	308612	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.043	308706	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			534	308706	C	
4.2.005	308713	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		536	308713	C	

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CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months US - Until Superseded	
PM - Permanent		



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3088 Southeast Texas Poison Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
1.1.038	308806	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		539	308806	C
1.1.043	308807	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			539	308807	C

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3092 Patient Services									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
1.1.006	309202	Complaint Records / On Behalf Of Minors Complaints received by the agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+2	0	AC+2	AC = Final disposition of the complaint or patient reaches age of majority, whichever is later. 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.		544	309202	C	
1.1.006	309203	Complaint Records Complaints received by the agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC	2	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.		544	309203	C	

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3093 Transplant Services									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	309308	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				551	309308	C

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3095 Ambulatory Operations / Access Center									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
1.1.038	309502	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		556	309502	C	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3103 Professional Liability And Review Committee								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	310301	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.		560	310301	D
1.1.007	310302	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	0	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 University 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.		560	310302	D
1.1.008	310303	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.		560	310303	D

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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.057	310304	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>		561	310304	D	
1.1.070	310305	<p>Agency Rules, Policies, and Procedures - Final</p> <p>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.</p>	AC+3	0	AC+3	<p>O AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>		561	310305	D	
3.4.007	310306	<p>Time Off and/or Sick Leave Requests</p> <p>This records series may include but not be limited to Leave Request Forms and other supporting documentation.</p>	FE+3	0	FE+3			561	310306	D	

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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
4.4.001	310307	General and Subsidiary Ledgers	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		562	310307	D	
4.6.002	310308	Reconciliations	FE+3	0	FE+3			562	310308	D	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3107 Otolaryngology / Administration									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.038	310709	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		571	310709	C	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3108 SOM / PMCH / Clinical Preventive Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
8.1	310834	CME Training Attendance Records Attendance records for CME training classes administered by an approved UTMB department. May include: sign-in logs, rosters, registration records, or any form of documentation that tracks attendance of class participants.	6	0	6	ACCME Accreditation Requirements and Documents Manual.				N
8.1	310835	CME Administration Activity Documents Records of activity or planning for a CME course administered by the department.	AC	0	AC	AC = ACCME Accreditation complete or 1 year, whichever longer. ACCME Accreditation Requirements and Documents Manual.				N

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3109 Respiratory Care Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
8.2.003	310911	Patient Billing Provides itemized billing record for medical services rendered. Records may include but are not limited to: patient demographic information; electronic billing reports; copies of all monthly aged trail balance reports; physical logs detailing patient or insurance payments; copies of checks, ledgers, or any other information that details specific payments; insurance vouchers from Medicare, Medicaid, or any other entity with which the hospital has specific contracts; any contact from patients disputing any portion of their hospital bills for which the billing department has kept the original document, related correspondence.	1	9	10	42 CFR 422.504(d).				N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		106 No.	Pg No.	AIN	
1.1	311301	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.				N
1.1.007	311302	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	0	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 University 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.				N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.008	311303	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				N
1.1.013	311304	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				N
1.1.038	311305	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC		AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.				N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks	106 No.	Pg No.	AIN		
1.1.057	311306	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				N	
1.1.063	311307	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					N	
1.1.067	311308	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				N	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
3.1	311309	Employee Acknowledgement Documentation Employee acknowledgement forms or other documentation that show proof of receipt and awareness of department policies, procedures and other information.	AC+2	0	AC+2	AC = Until superseded or termination of employment. CAUTION: This records series is not included in the official Personnel Record. AC = Termination of employment.				N	
3.1.027	311310	Training and Educational Achievement Records (Individual) Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC+5	0	AC+5					N	
3.3.020	311311	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					N	
3.4.007	311312	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					N	
5.2.018	311313	Quality Control Reports	2	0	2					N	
8.1	311314	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					N	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
8.1	311315	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE+5	0	FE+5					N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3133 Cancer Center / Administration									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1	313301	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV			599	313301	D	
1.1.063	313307	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1			601	313307	D	
1.1.070	313308	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.	601	313308	D	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.3.001	313309	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).		602	313309	D
1.3.002	313310	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O			602	313310	D
3.4.007	313311	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3				602	313311	D

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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
4.1	313312	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+7	0	FE+7			602	313312	D	
4.1.002	313313	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.		603	313313	D	
5.1.012	313317	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	0	US+3			604	313317	D	

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 3133 Cancer Center / Administration

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
5.2.010	313318	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.		604	313318	D

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3134 OLRA / Office Of Institutional Compliance								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
1.1.038	313411	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		608	313411	C
1.1.043	313413	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+6	0	US+6	Retention is based on HIPAA PART 164.530(J)(2)		609	313413	C
4.2.005	313420	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		611	313420	C
5.1.001	313422	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item numbers 3.1.035 for performance bonds, 5.3.007 for bid documentation, 5.2.028 for building construction contracts, and 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		611	313422	C

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Amendment Codes (Field 12)

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3135 BOF / Supply Chain / Hospital Operations Materials Management									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	313504	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			614	313504	C	
4.5.002	313509	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE	3	FE+3	Monthly reconciliation and approval of expenses required by internal audit.		615	313509	C	

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3136 PMCH / Aerospace Medicine Center									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
8.1	313606	FAA Physicals and Health Assessments Physical examination of an applicant that periodic monitoring of health or fitness is required. This series may include but is not limited to FAA Certification Physicals, Fit-For-Duty exams, and other related records and correspondence.	AC+7	0	AC+7	AC = Date of Last Treatment. 22 TAC 165.1(b)(1). FAA Guide for Aviation Medical Examiners.		619	313606	C	
	313609	Commercial Spaceflight Physicals and Health Assessments Physical examination of an applicant that periodic monitoring of health or fitness is required. This series may include but is not limited to Commercial Spaceflight Physicals, Fit-For-Duty exams, and other related records and correspondence.	PM	0	PM					N	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3137 Pathology / Molecular Diagnostics									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
5.2.008	313716	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.		624	313716	C	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3139 Ambulatory Operations									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
1.1.038	313908	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		631	313908	C	
1.1.043	313910	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			631	313910	C	
2.1.009	313919	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	0	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		634	313919	C	
5.2.008	313930	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.		636	313930	C	
5.2.011	313932	Equipment Warranties	AC+1	0	AC+1	AC = Expiration of warranty.		636	313932	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
5.3.007	313934	Bid Documentation - FY16 Or Later Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms or decision not to proceed with bid.		636	313934	C
5.3.009	313935	Requests for Information Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC	0	AC	AC = Decision not to proceed with the procurement. CAUTION: If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with item number 5.3.007.		637	313935	C
5.3.007	313940	Bid Documentation - FY15 or Earlier Includes bid requisitions / authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation / evaluations associated with a contract executed, renewed, or amended on or before August 31, 2015	FE+3	0	FE+3					N
5.3.007	313941	Bid Documentation - Unsuccessful Bids This record series consists of information relative to bids that were not awarded. These records may include but is not limited to: legal advertisements, requests for proposal, technical specifications, invitations to bid, bid tabulations, bid responses and related correspondence.	AC+2	0	AC+2	AC = Date of notification of denial or date of withdrawal, as applicable.				N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
	314207	Client Psychological And Psychiatric Records This series documents all clients who are provided psychological and psychiatric services. Clinicians provide treatment concerning personal problems, academic concerns, and career concerns. The psychiatric consultant provides psychiatric care. Records may include but are not limited to: testing materials, extensive notes made by providers concerning the assessment, diagnosis, treatment and contacts (written, telephone, or in person) with each client, referral letters, release of information agreements, letters to agencies or others concerning the clients, and related documentation.	AC+7	0	AC+7	AC = No client contact for 3 months or formal termination of services. For minor patients, keep AC+7 or until age 21, whichever is longer. 22 TAC 465.22(d)2. The Texas State Board Of Examiners Of Psychologists Rules Of Practice.		640	314207	D

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723											
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			Agency	Storage	Total			9. Remarks	Pg No.		AIN
5.2.008	315013	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.		648	315013	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.043	315107	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			A1-74	315107	C
4.2.005	315115	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+1	8	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		653	315115	C
	315122	Medication Profiles Profiles for chemotherapy patients. These profiles tell what drugs are given, the amount of each drug given, the date and time given and who administered the drugs.	1	4	5			654	315122	C
	315124	Pharmacy Prescription Dispensation Records This series is used to provide an individual, daily summary, and annual summary record of initial drug dispensation and refills administered by the department as required by the Texas State Pharmacy Board. This series may include but is not limited to: prescription slips, in-house computer-generated Rx registers, controlled substance reports, and database purge reports.	1	2	3			655	315124	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	106 No.	Pg No.	AIN	
4.5.002	315125	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE	3	FE+3	Monthly reconciliation and approval of expenses required by internal audit.		655	315125	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	315206	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				658	315206	C

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3153 CMC / Utilization Review									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks			Pg No.	AIN	
1.1.043	315307	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			664	315307	C	
3.1.023	315313	Position/Job Descriptions Job descriptions, including all associated task or skill statements, for positions in an agency.	AC+4	0	AC+4	AC = Until superseded or job eliminated. 40 TAC 815.106(i).		666	315313	C	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months US - Until Superseded	
PM - Permanent		



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3155 CMC / Huntsville Medical Warehouse									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks			Pg No.	AIN	
1.1.043	315502	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				673	315502	C
4.2.005	315506	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9		UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		674	315506	C
5.3.007	315515	Bid Documentation - FY16 Or Later Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations.	AC+7	0	AC+7		AC = Expiration or termination of the instrument according to its terms or decision not to proceed with bid.		675	315515	C
5.3.007	315518	Bid Documentation - FY15 or Earlier Includes bid requisitions / authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation / evaluations associated with a contract executed, renewed, or amended on or before August 31, 2015	FE+3	0	FE+3						N
5.3.007	315519	Bid Documentation - Unsuccessful Bids This record series consists of information relative to bids that were not awarded. These records may include but is not limited to: legal advertisements, requests for proposal, technical specifications, invitations to bid, bid tabulations, bid responses and related correspondence.	AC+2	0	AC+2		AC = Date of notification of denial or date of withdrawal, as applicable.				N

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End LA - Life Of Asset PM - Permanent
FE - Fiscal Year End MO - Months US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal

Amendment Codes (Field 12)

N - New D - Deleted
C - Changed



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3156 Nursing Services / WIC / Neonatal Intensive Care Unit									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
5.2.005	315612	Calibration Records (Equipment or Instrument)	1	9	10			679	315612	C	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months
	PM - Permanent US - Until Superseded	N - New D - Deleted
		C - Changed



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3157 Nursing Services / WIC / Pediatric Med/Surg And PICU (J10AB)									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
3.4.006	315708	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE	4	FE+4	40 TAC 815.106(i).			683	315708	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3158 Nursing Services / WIC / Labor And Delivery (J3C,J3A)									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	315804	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			686	315804	C	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months US - Until Superseded	
PM - Permanent		



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3159 Nursing Services / WIC / Mother - Baby Unit									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	315913	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				A2-69	315913	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3160 Nursing Services / WIC / Antepartum (6A/B)									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
3.3.020	316012	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1						N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
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PM - Permanent		



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3162 Ambulatory Operations / Victory Lakes / Clinics									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	316207	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				697	316207	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal N - New D - Deleted C - Changed



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3163 Ambulatory Operations / Victory Lakes / Ambulatory Surgery									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
4.2.005	316316	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	9	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		705	316316	C	
5.2.008	316319	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.		705	316319	C	

Retention Codes (Field 7)

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AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End
LA - Life Of Asset
MO - Months
PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
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Amendment Codes (Field 12)

N - New
D - Deleted
C - Changed



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3164 Ambulatory Operations / Victory Lakes / Ambulatory Training Development								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.043	316405	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			710	316405	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3165 Finance / Clinical Enterprise / Healthcare Financial Management									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	316507	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				713	316507	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3168 Multi-Share Plan
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
5.1.001	316817	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item numbers 3.1.035 for performance bonds, 5.3.007 for bid documentation, 5.2.028 for building construction contracts, and 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		730	316817	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3169 Hospital Administration / Community Health Program									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.038	316907	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		733	316907	C	
1.1.043	316909	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			734	316909	C	
2.1.009	316919	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	0	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		737	316919	C	
1.1.002	316933	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	0	AC+7	AC = Publication or release of final audit findings. The record copy of any audit performed by the State Auditor's Office is retained permanently by UTMB's Internal Audit Services Consulting And Investigation.				N	

Retention Codes (Field 7)

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AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End
LA - Life Of Asset
MO - Months
PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal

Amendment Codes (Field 12)

N - New
D - Deleted
C - Changed



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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 3169 Hospital Administration / Community Health Program

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	316934	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.				N
5.6.003	316934	Inspection Repair and Maintenance Records - Vehicles	LA+1	0	LA+1					N
5.6.005	316936	Vehicle Use Reports Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	FE+3	0	FE+3					N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End LA - Life Of Asset PM - Permanent FE - Fiscal Year End MO - Months US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal
		N - New D - Deleted C - Changed



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4002 Office of Faculty Relations									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	400203	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				745	400203	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
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PM - Permanent		



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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4004 SHP / Office Of Academic And Student Affairs (ASA)
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
5.1.001	400415	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item numbers 3.1.035 for performance bonds, 5.3.007 for bid documentation, 5.2.028 for building construction contracts, and 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		753	400415	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4006 Enrollment Services / Student Financials									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	400604	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				765	400604	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal N - New D - Deleted C - Changed



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4007 Enrollment Services / Admissions									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	400708	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				772	400708	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4008 Area Health Education Center (AHEC)									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	400805	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				777	400805	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4010 Enrollment Services / Financial Aid									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1.038	401007	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		786	401007	C	
5.1.001	401016	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item numbers 3.1.035 for performance bonds, 5.3.007 for bid documentation, 5.2.028 for building construction contracts, and 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		789	401016	C	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4015 Office Of The Executive Vice President And Provost Dean / School Of Medicine

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.043	401511	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			803	401511	C
5.2.008	401528	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.		808	401528	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4017 AS / MD/PHD Program / GSBMS

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	401701	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.				N
1.1	401702	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.				N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.007	401703	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	0	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 University 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.				N
1.1.008	401704	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.013	401705	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				N

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2. Agency Code		5. Agency Item Number		6. Record Series Title			7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend. Type
723		401706		Transitory Information			AC	0	AC	9. Remarks		106 No.	Pg No.	AIN	N
4. Records Series Item No.		5. Agency Item Number		6. Record Series Title			Agency	Storage	Total	9. Remarks		106 No.	Pg No.	AIN	12. Amend. Type
1.1.057		401706		<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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>					
1.1.067		401707		<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>			3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>					N

Retention Codes (Field 7)										Archival Codes (Field 8)			Amendment Codes (Field 12)	
AC - After Closed, Terminated, Completion, Expiration, Settled			CE - Calendar Year End			LA - Life Of Asset			PM - Permanent			I - Retain in Archives	N - New	D - Deleted
AV - Administrative Value			FE - Fiscal Year End			MO - Months			US - Until Superseded			O - Review Required Before Disposal	C - Changed	



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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.3.001	401708	<p>State Publications</p> <p>One copy of each state publication as defined on page xi of the introduction 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.</p>	AC+2	0	AC+2		<p>AC = Until superseded or obsolete.</p> <p>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).</p>				N
1.3.002	401709	<p>Publication Development Files</p> <p>Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.</p>	AV	0	AV	O					N
3.4.006	401710	<p>Time Cards and Time Sheets</p> <p>A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.</p>	FE+4	0	FE+4		40 TAC 815.106(i).				N
3.4.007	401711	<p>Time Off and/or Sick Leave Requests</p> <p>This records series may include but not be limited to Leave Request Forms and other supporting documentation.</p>	FE+3	0	FE+3						N

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 AV - Administrative Value
 CE - Calendar Year End
 FE - Fiscal Year End
 LA - Life Of Asset
 MO - Months
 PM - Permanent
 US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
 O - Review Required Before Disposal

Amendment Codes (Field 12)

N - New
 D - Deleted
 C - Changed



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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
4.5.006	401712	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3					N
4.6.002	401713	Reconciliations	FE+3	0	FE+3					N
5.1.014	401714	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	0	US+1					N
9.1.002	401715	Admissions Records / Accepted This series documents the application process for individuals seeking admission to the institution or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC+5	0	AC+5	AC = Graduation or date of last attendance.				N
9.1.003	401716	Admissions Records / Denied This series documents the applications process for individuals that have been denied admission to the University or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC+1	0	AC+1	AC = After application term.				N
9.1.009	401717	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
9.1.010	401718	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor of tenure track faculty. May include correspondence, reports, etc.	AC+7	0	AC+7	AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).				N
9.1.017	401719	Grade Reports This series documents grades received by students for the term. The series includes but is not limited to: course numbers and titles, grades awarded, grade point average, student name, and social security number.	AC+1	0	AC+1	AC = Date distributed. Information may be exempt from public disclosure.				N
9.1.021	401720	International Student Records / Accepted This series documents institution assistance to international students who have been admitted to academic programs. These records primarily concern institution admissions, immigration issues, and other non-academic matters. Records may include but are not limited to: copies of visas, scholarship information, institution admissions forms, graduate school applications, transcripts of previous college work, grade reports of prior college work, grade reports from institutional courses, international student advisors' notes, degree completion certificates, explanations for student withdrawals, recommendations and evaluations of students, and related documentation and correspondence.	AC+7	0	AC+7	AC = After last enrollment.				N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
9.1.022	401721	International Student Records / Denied This series documents institution assistance to international students who have failed to enroll in academic programs. These records primarily concern institution admissions, immigration issues, and other non-academic matters. Records may include but are not limited to: copies of visas, scholarship information, institution admissions forms, graduate school applications, transcripts of previous college work, grade reports of prior college work, grade reports from institutional courses, international student advisors' notes, degree completion certificates, explanations for student withdrawals, recommendations and evaluations of students, and related documentation and correspondence.	AC+2	0	AC+2					N
9.1.031	401722	Program And Course Development Records This records series documents the development, approval, and the implementation of undergraduate, graduate, and professional degree programs and any other reorganizations or changes to established programs. Records may include but are not limited to: working papers, final reports, related course descriptions, outlines, sample examinations, textbook lists, etc.	6	0	6	O				N
9.1.036	401723	Scholarships Awarded by Department / Selection Records A record of recipients of departmentally-administered scholarship funds (not administered by University Financial Aid Office). May include application materials for students receiving the scholarships; forms rating the applicants; award notification letters, etc	AC+6	0	AC+6					N

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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
9.1.041	401724	Student Academic Records Records may include but are not be limited to: date of admission, period of attendance, academic work undertaken, academic work successfully completed, honors awarded, diploma, degree, or certificate earned, and appropriate evaluation of work completed for students such as medical, nurses, and other professional type students. Also includes course changes and add/drops.	AC+10	0	AC+10	AC = Graduation or date of last attendance.				N	
9.1.045	401725	Student Grievance Records This series documents grievances brought forward by students against the institution which do not result in litigation. Grievances may pertain to academic issues, housing, affirmative action and equal opportunity, student conduct, and other issues. Records may include but are not limited to: notices of grievance, informal discussion notes, grievance responses, formal hearing notes (including audio tapes), final summary statements, settlement agreements, appeals documentation, and related records.	AC+3	0	AC+3	AC = After resolution.				N	
9.1.065	401726	Student Recruitment Records This series documents efforts of the institutional units to recruit students based upon disadvantaged status, academic performance, and other criteria. Records may include but are not limited to: prospects lists, interview and conversation notes, personal information forms and resumes, test scores, academic transcripts, travel and hotel accommodations, and related documentation and correspondence.	5	0	5					N	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1	401801	Special Lectures This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on catering arrangements; news releases; recordings and transcripts; photographs; and related documentation and correspondence.	CE+5	0	CE+5	O				N	
1.1	401802	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.			N	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed



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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1.007	401803	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	0	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 University 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.				N	
1.1.008	401804	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				N	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8.	9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total				Pg No.	AIN	
1.1.013	401805	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				N
1.1.024	401806	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.				N
1.1.038	401807	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC		AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.				N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.040	401808	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: AC = Until superseded or no longer needed for reference.				N
1.1.057	401809	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC		AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				N
1.1.063	401810	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1						N

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Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal

Amendment Codes (Field 12)

N - New
D - Deleted
C - Changed



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			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.067	401811	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			N	
1.3.001	401812	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	AC+2	O	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).			N	
1.3.002	401813	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				N	

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3.3.023	401814	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	0	FE+3					N
3.4.006	401815	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				N
3.4.007	401816	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					N
4.5.002	401817	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				N
4.5.006	401818	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3					N

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4.7	401819	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				N	
9.1.002	401820	Admissions Records / Accepted This series documents the application process for individuals seeking admission to the institution or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC+5	0	AC+5	AC = Graduation or date of last attendance.				N	
9.1.003	401821	Admissions Records / Denied This series documents the applications process for individuals that have been denied admission to the University or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC+1	0	AC+1	AC = After application term.				N	

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9.1.009	401822	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7		AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).			N	
9.1.028	401823	Non-Institution Student Records This records series documents the administrative activities of special instructional and support programs directed to serve elementary through high school and non-institution students belonging to special groups. The series may include but is not limited to: policy and program planning and development documentation; evaluations of courses, support services, and instructors; program course outlines; attendance records; reports; statistical reports; working papers; and related documentation and correspondence.	AC+5	0	AC+5	O	AC = Completion or date of last attendance.			N	
9.1.035	401824	Scholarship Applications -- Not Awarded A record of students who have applied for departmental scholarships and who have not been awarded scholarship funds.	AC+2	0	AC+2		AC = After completion of application process.			N	
9.1.036	401825	Scholarships Awarded by Department / Selection Records A record of recipients of departmentally-administered scholarship funds (not administered by University Financial Aid Office). May include application materials for students receiving the scholarships; forms rating the applicants; award notification letters, etc	AC+6	0	AC+6		AC = After award.			N	

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9.1.037	401826	Scholarships Awarded by Department / History Records A record of a departmentally administered scholarship program (not administered by University Financial Aid Office). May include documentation of the establishment of the fund (administrative requirements for the scholarship, donations received, copies of wills, etc.), correspondence regarding the scholarship program, list of recipients, etc.	AC+6	0	AC+6	O	AC = After termination of program.			N	
9.1.041	401827	Student Academic Records Records may include but are not be limited to: date of admission, period of attendance, academic work undertaken, academic work successfully completed, honors awarded, diploma, degree, or certificate earned, and appropriate evaluation of work completed for students such as medical, nurses, and other professional type students. Also includes course changes and add/drops.	AC+10	0	AC+10		AC = Graduation or date of last attendance.			N	
9.1.073	401828	Student Coursework This series documents student subject mastery in institution courses. Records may include but are not limited to: examinations and answers; quizzes and answers; homework assignments; course papers; term papers; and essay assignments.	AC+1	0	AC+1		AC = End of academic term. CAUTION: Coursework under dispute may not be destroyed until the resolution of the dispute.			N	
9.1.074	401829	Course Evaluations - Non-Tenure Track This records series consists of information/surveys done to evaluate the course and/or the instructor of non-tenure track faculty. May include correspondence, reports, etc.	AC+3	0	AC+3		AC = After term in which course is taught.			N	

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1.1	401901	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				N
1.1	401902	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O				N
1.1	401903	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O				N

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			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1.007	401904	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	0	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 University 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.				N	
1.1.008	401905	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				N	

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			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.013	401906	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				N
1.1.024	401907	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.				N
1.1.040	401908	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: AC = Until superseded or no longer needed for reference.				N

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			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.057	401909	<p>Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series.</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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				N	
1.1.067	401910	<p>Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.</p>	3	0	3	O	<p>ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				N
3.4.007	401911	<p>Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.</p>	FE+3	0	FE+3					N	

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			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
4.5.002	401912	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3		Monthly reconciliation and approval of expenses required by internal audit.				N
4.5.006	401913	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3						N
4.6.002	401914	Reconciliations	FE+3	0	FE+3						N
5.1.014	401915	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	0	US+1						N
9.1.008	401916	Commencement Planning Records This series documents commencement program planning and implementation at the institution. Records may include but are not limited to: commencement attendance forms; planning records created by commencement committees or other planning groups; and related documentation and correspondence.	AC+4	0	AC+4	O	AC = After commencement events.				N
9.1.009	401917	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7		AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total				Pg No.	AIN	
9.1.053	401918	Catalog / Bulletin Records This series provides a record of institutional policies and procedures, program requirements, and course offerings. Information in the individual catalogs and bulletins includes academic policies and procedures, program names and descriptions, course names and descriptions, alphanumeric course designations, credits offered per course, and related program and course information. Records may include but are not limited to: published copies of catalogs and bulletins including the general, graduate, and summer session catalog/bulletin, mock-ups of catalogs and bulletins, preparation and working papers, and related documentation and correspondence.	AC+2	0	AC+2	I	AC = After term. ARCHIVES NOTE: Transfer a copy of all catalogs or bulletins to the University Archives upon publication.				N

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4024 Office Of Clinical Simulation									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	402407	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			825	402407	C	
5.2.011	402421	Equipment Warranties	AC+1	0	AC+1	AC = Expiration of warranty.		829	402421	C	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4025 AS / Office Of Educational Development									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.043	402508	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			832	402508	C	
5.2.011	402521	Equipment Warranties	AC+1	0	AC+1	AC = Expiration of warranty.		835	402521	C	
3.4.007	402526	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					N	

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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4028 SON / Office Of The Dean
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
3.1	402816	<p>Appointment, Promotion, And Tenure Records</p> <p>This series documents the periodic consideration of faculty who are eligible for promotion in rank and change in tenure status, appointments to the ranks of Associate Professor and Professor and to endowed Chairs and Professorships, and compliance with U.T. System regulations for periodic performance evaluation of tenured faculty. Records may include but are not limited to appointment, promotion and tenure proposals submitted by departments for review by the School of Medicine Appointment, Promotion, and Tenure (APT) Committee and the Executive Committee - Faculty of Medicine, committee recommendations and approvals, and documentation of post-tenure review recommendations. Proposals may include but are not limited to: Chairs' letter of proposal, departmental APT committee's letter of recommendation, letters of evaluation and a current curriculum vitae.</p> <p>These files should always be maintained physically separate from faculty files.</p>	AC+5	0	AC+5	O	AC = Termination of Employment. 29 CFR 1602.49.			N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4031 SON / Business Affairs Office									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
4.2.005	403108	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+1	8	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		856	403108	C	
4.5.002	403109	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+1	2	FE+3	Monthly reconciliation and approval of expenses required by internal audit.		857	403109	C	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4032 SON / Grants Management / CNRE									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1	403202	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV				858	403202	D

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4036 Neuroscience And Cell Biology									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
5.2.008	403613	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.		871	403613	C	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4037 Animal Resources Center									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
1.1.038	403707	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		873	403707	C	
1.1.043	403708	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			874	403708	C	
4.2.005	403719	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	9	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		876	403719	C	
5.1.001	403721	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item numbers 3.1.035 for performance bonds, 5.3.007 for bid documentation, 5.2.028 for building construction contracts, and 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		877	403721	C	

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FE - Fiscal Year End		MO - Months		US - Until Superseded							



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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
5.2.008	403723	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.		877	403723	C
	403727	Animal Clinical Record This records series documents care and the USDA final disposition information. The series may include but is not limited to investigator, vendor, protocol, and location information.	AC	5	AC+5	AC = After completion. 22 TAC 573.52.		878	403727	C
	403729	Pharmacy Controlled Substance Records Consists of records that document the use and disposition of controlled substances. Including but not limited to: audits, inventories, and transfers between pharmacies, prescriptions, and dispositions of controlled substances, night medication sheets, and proof of use sheets.	5	0	5	22 TAC 573.50. Retention is based on department policy.		878	403729	C

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4045 SOM / Biochemistry And Molecular Biology								
723										
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
3.1	404511	Faculty and Non-teaching Recruitment Records This records series documents the recruitment of faculty and non-teaching positions by the University. Records may include but are not limited to: request to post, position description, recruiting plan (includes search committee list), advertising, interview detail, Approval To Interview Form (pre-interview summary), applicants recommended for interview, CV's for all applicants listed and related correspondence.	FE+2	0	FE+2			900	404511	C

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4056 SOM / Internal Medicine / Infectious Diseases									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	405606	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				937	405606	C

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4060 SOM / Internal Medicine / Cardiology Division									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks	106 No.	Pg No.	AIN		
5.1.001	406013	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item numbers 3.1.035 for performance bonds, 5.3.007 for bid documentation, 5.2.028 for building construction contracts, and 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		960	406013	C	
4.5.002	406023	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				N	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal N - New D - Deleted C - Changed



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4062 SOM / Internal Medicine / Administration									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
9.1.058	406215	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+5	45	AC+50	AC = Completion of training.			A2-110	406215	C

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON									
		RMAN: 4065 AS / Academic Resources / Administration									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	406508	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			984	406508	C	

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4068 SHP / Clinical Laboratory Sciences									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.038	406807	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		992	406807	C	

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4071 SOM / Psychiatry / Administration									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.043	407108	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			1005	407108	C	
4.2.005	407118	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		1008	407118	C	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4077 OB/GYN / Residency Education									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	407705	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				1032	407705	C

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4091 Health Systems / Regional Maternal And Child Health Program									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
1.1.038	409108	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		1041	409108	C	
1.1.043	409110	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			1041	409110	C	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4094 SOM / Ophthalmology And Visual Sciences								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
3.3.020	409417	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					N
8.1	409418	Ophthalmology Patient Records Professional examinations conducted by a medical doctor (MD) or osteopathic doctor (DO) who specializes in eye and vision care. Includes eye exams, diagnosis and treatment of disease, medication prescriptions, eye glasses and contact lense prescriptions, and performing eye surgery.	AC+7	0	AC+7	AC = Last date of service, or if minor, when patient turns 21, whichever longer. 25 TAC 37.23. CAUTION: These records are maintained separately from item number 8.1.001.				N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months US - Until Superseded	



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4095 Center For Audiology And Speech Pathology									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
3.1.023	409514	Position/Job Descriptions Job descriptions, including all associated task or skill statements, for positions in an agency.	AC+4	0	AC+4	AC = Until superseded or job eliminated. 40 TAC 815.106(i).		1063	409514	C	
5.1.001	409517	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item numbers 3.1.035 for performance bonds, 5.3.007 for bid documentation, 5.2.028 for building construction contracts, and 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		1064	409517	C	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal N - New D - Deleted C - Changed



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4099 SOM / Pathology									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
5.2.008	409923	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.		1073	409923	C	

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
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LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal

Amendment Codes (Field 12)

N - New D - Deleted
C - Changed



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4103 Pediatric Immunology / Allergy									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
4.2.005	410311	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+1	8	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. AC = Expiration of warranty.		1084	410311	C	
5.2.011	410315	Equipment Warranties	AC+1	0	AC+1			1084	410315	C	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4111 SOM / Pediatric Nephrology									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	411107	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				1111	411107	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months US - Until Superseded	
PM - Permanent		



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4117 SOM / Pediatric Infectious Diseases									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	411707	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				1132	411707	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4118 Pediatrics / Clinical Experimental Immunology And Infectious Disease									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	411806	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				1138	411806	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4119 SOM / Pediatric Medical Education									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	411907	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				1144	411907	C

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LA - Life Of Asset
MO - Months
PM - Permanent
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Archival Codes (Field 8)

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O - Review Required Before Disposal

Amendment Codes (Field 12)

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4121 SOM / Pediatrics General									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks			Pg No.	AIN	
1.1.043	412105	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				1151	412105	C

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AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months US - Until Superseded	
PM - Permanent		



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4122 SOM / Pharmacology And Toxicology									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
4.2.005	412206	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	9	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		1156	412206	C	

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4127 SON / Undergraduate Program Administration

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	412702	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV			1164	412702	D

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4128 SON / Graduate Program Administration

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	412803	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV			1169	412803	D

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled CE - Calendar Year End LA - Life Of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End MO - Months US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4129 SON / BSN Program - Sr. Year & Jr. Year

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.038	412905	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+5	0	AC+5	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys. Retention is based on department policy per accreditation requirements.		1176	412905	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled CE - Calendar Year End LA - Life Of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End MO - Months US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4130 SON / SIM Lab									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1	413003	Photographs And Negatives - Historically Significant Documents the collection of photographs or negatives created by or for an agency. Includes events that document the agency's organization, special ceremonies, occasions, events and facilities. May include commercially available material.	AV	0	AV	I			1180	413003	D
1.1.043	413008	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				1182	413008	C
	413021	Grade Reports This series documents grades received by students for the term. The series includes but is not limited to: course numbers and titles, grades awarded, grade point average, student name, and social security number.	AC+1	0	AC+1		AC = Date distributed. Information may be exempt from public disclosure.		1186	413021	D
	413022	Program And Course Development Records This records series documents the development, approval, and the implementation of undergraduate, graduate, and professional degree programs and any other reorganizations or changes to established programs. Records may include but are not limited to: working papers, final reports, related course descriptions, outlines, sample examinations, textbook lists, etc.	6	0	6	O			1186	413022	D
	413024	Test Questions And Examinations Records may include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC+2	0	AC+2		AC = After graduation or date of last attendance.		1187	413024	D

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FE - Fiscal Year End MO - Months US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal

Amendment Codes (Field 12)

N - New D - Deleted
C - Changed



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4131 SON / Office Of Admissions And Student Affairs									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.043	413108	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			1190	413108	C	
1.1	413121	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.				N	

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
 AV - Administrative Value
 CE - Calendar Year End
 FE - Fiscal Year End
 LA - Life Of Asset
 MO - Months
 PM - Permanent
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Archival Codes (Field 8)

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Amendment Codes (Field 12)

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4131									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1	413102	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV			1188	413102	D	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4132 SON / Clinical Affairs									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks			Pg No.	AIN	
1.1	413203	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV				1194	413203	D
5.2.008	413219	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3		For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.		1199	413219	C
3.1	413223	Appointment, Promotion, And Tenure Records This series documents the periodic consideration of faculty who are eligible for promotion in rank and change in tenure status, appointments to the ranks of Associate Professor and Professor and to endowed Chairs and Professorships, and compliance with U.T. System regulations for periodic performance evaluation of tenured faculty. Records may include but are not limited to appointment, promotion and tenure proposals submitted by departments for review by the School of Medicine Appointment, Promotion, and Tenure (APT) Committee and the Executive Committee - Faculty of Medicine, committee recommendations and approvals, and documentation of post-tenure review recommendations. Proposals may include but are not limited to: Chairs' letter of proposal, departmental APT committee's letter of recommendation, letters of evaluation and a current curriculum vitae. These files should always be maintained physically separate from faculty files.	AC+5	0	AC+5	O	AC = Termination of Employment. 29 CFR 1602.49.		A2-133	413223	D

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4136 SOM / PMCH / Education									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.038	413613	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		A1-128	413613	C	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4146 SHP / Respiratory Care									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.038	414607	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.			1214	414607	C

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AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
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PM - Permanent		



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4149 Radiology / Administration									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	414936	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			A2-137	414936	C	
5.2.008	414939	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.		A2-137	414939	C	

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4150 Student Life									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.038	415008	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		1228	415008	C	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months US - Until Superseded	
PM - Permanent		



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4162 SOM / Anesthesiology / Administration									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
5.2.011	416217	Equipment Warranties	AC+1	0	AC+1	AC = Expiration of warranty.		1245	416217	C	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal N - New D - Deleted C - Changed



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4165 SOM / Pediatrics Early Childhood Intervention / LAUNCH									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		106 No.	Pg No.	AIN	
1.1.038	416504	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.			1250	416504	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4166 Non-Invasive Cardiology Services

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
1.1.038	416604	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		1254	416604	C
4.2.005	416613	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		1256	416613	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months US - Until Superseded	
PM - Permanent		



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4167 Surgery / Administration									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks			Pg No.	AIN	
1.1.043	416709	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				1260	416709	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4171 SON / Office Of Education Technology									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks			Pg No.	AIN	
1.1.043	417105	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				1269	417105	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months US - Until Superseded	
PM - Permanent		



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4173 SOM / Institute For Human Infections And Immunity									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
4.2.005	417315	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		1275	417315	C	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4177 Student Health and Counseling											
723		6. Record Series Title			7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend.
4. Records Series Item No.	5. Agency Item Number				Agency	Storage	Total	9. Remarks		106 No.	Pg No.	AIN	Type
5.1.001	417711	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.			AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item numbers 3.1.035 for performance bonds, 5.3.007 for bid documentation, 5.2.028 for building construction contracts, and 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.			1283	417711	C

Retention Codes (Field 7)						Archival Codes (Field 8)				Amendment Codes (Field 12)		
AC - After Closed, Terminated, Completion, Expiration, Settled	CE - Calendar Year End	LA - Life Of Asset	PM - Permanent	I - Retain in Archives	N - New	D - Deleted	AV - Administrative Value	FE - Fiscal Year End	MO - Months	US - Until Superseded	O - Review Required Before Disposal	C - Changed



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4183 AS / Academic Resources / Biocommunication Services									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
5.2.008	418318	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.		1295	418318	C	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4184 SOM / Center For Biomedical Engineering									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
5.2.008	418410	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.		1299	418410	C	

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4186 AS / Educational Outreach									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.043	418608	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				1302	418608	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal N - New D - Deleted C - Changed



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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4187 Office Of Clinical Education - Galveston & Office Of Regional Medical Education Austin Program
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
5.1.001	418715	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item numbers 3.1.035 for performance bonds, 5.3.007 for bid documentation, 5.2.028 for building construction contracts, and 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		1308	418715	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4188 SOM / Radiology / Administration									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.043	418808	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			1313	418808	C	
5.1.001	418822	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item numbers 3.1.035 for performance bonds, 5.3.007 for bid documentation, 5.2.028 for building construction contracts, and 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		1317	418822	C	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4189 AS / Instruction Management Office									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
1.1.043	418905	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			1322	418905	C	
2.1.009	418912	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	0	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		1325	418912	C	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4190 SOM / Sealy Center For Vaccine Development

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
5.2.008	419014	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.		1330	419014	C
1.1.063	419021	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled CE - Calendar Year End LA - Life Of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End MO - Months US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4191 Associate Vice President For University Student Services									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks			Pg No.	AIN	
1.1.069	419117	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	0	1	CAUTION: SEE item number 1.1.064.				N	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4196 Center For Addiction Research									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
4.7	419608	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC	15	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.		1356	419608	C	
4.7	419609	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC	4	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.		1357	419609	C	
5.4.009	419612	Workplace Chemical Lists	2	28	30	Texas Health and Safety Code, 502.005(d).		1357	419612	C	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value						Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal				Amendment Codes (Field 12) N - New D - Deleted C - Changed	
CE - Calendar Year End		LA - Life Of Asset		PM - Permanent							
FE - Fiscal Year End		MO - Months		US - Until Superseded							



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4196 Center For Addiction Research									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
4.5.002	419616	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE	3	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				N	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months
PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed



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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4198 HPLA / Office of County Affairs
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
1.1.038	419807	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		1360	419807	C
1.1.043	419809	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			1361	419809	C
2.1.009	419820	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	0	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		1364	419820	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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SLR 122

Form SLR 105C must accompany this form

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4199 Office of Regulated Non-Clinical Studies									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.043	419908	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	AC+10	0	AC+10	AC = After close of sponsored research study. Retention is based on department policy.		1370	419908	C	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4202 Interprofessional Education									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1.038	420207	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		1383	420207	D	
	420214	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).		1385	420214	D	
4.5.002	420218	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				N	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON									
		RMAN: 4203 SOM / Internal Medicine / Division of Pulmonary and Critical Care And Sleep Medicine									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
5.2.008	420316	Equipment History File Includes requests for installation, moves, service, etc.; and service / repair logbooks, etc.	LA+3	0	LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.			1392	420316	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months US - Until Superseded	
PM - Permanent		



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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4205 Primary Care Services

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
4.7	420510	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled CE - Calendar Year End LA - Life Of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End MO - Months US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4206 AS / Academy Of Master Teachers									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1.038	420610	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	0	AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		1399	420610	C	
1.1.043	420612	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1			1400	420612	C	
4.2.005	420619	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		1402	420619	C	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months US - Until Superseded	
PM - Permanent		



June 6, 2016

Mr. Robert Norwood
Director, Records Management Compliance
UTMB at Galveston
301 University Blvd
Galveston, TX 77555-0918

State and Local
Records Management

Re: Agency records retention schedule amendment approved for use

Dear Mr. Norwood:

P.O. Box 12927
Austin, Texas
78711.2927

Amendment 2 to your agency's 7th recertification of your records retention schedule is approved for use as of Friday, June 3, 2016. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

4400 Shoal Creek Blvd.
Austin, Texas
78756

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 regulations (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.

www.tsl.texas.gov

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.

Commission Chairman
Michael C. Waters

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 Wilson, at 512-463-6627 or ewilson@tsl.texas.gov.

Members
Sharon T. Carr
Martha Doty Freeman
F. Linwood Givens
Larry G. Holt
Wm. Scott McAfee
Sandra J. Pickett

Sincerely,

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

Craig Kelso
Director and State Records Administrator

Director and Librarian
Mark Smith

Assistant State Librarian
Edward Seidenberg

cc: State Auditor, State Archivist, David L Callendar, MD

*Preserving yesterday,
informing today,
inspiring tomorrow.*

R01.723/723

723 EW



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 **723**

Agency Name **The University Of Texas Medical Branch At Galveston**

(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

Robert W. Norwood

Name (Print or Type)

Robert W. Norwood

Date

2/24/2016

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office

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

Signature

Name (Print or Type)

Date

Not Required at This Time

Texas State Library and Archives Commission

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

Signature

Name (Print or Type)

Date

Donna Osborne

Donna Osborne

6/3/16

Recertification No.

7

Amendment No.

2

CAUTION

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

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





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Form SLR 105C must accompany this form

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON									
		RMAN: 1002 Development Office									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1	100202	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+1	2	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.		4	100202	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months US - Until Superseded	



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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1008 HPLA / Government Relations
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	100801	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O		19	100801	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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PM - Permanent		



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1012 HPLA / Center to Eliminate Health Disparities									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1	101201	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O		34	101201	C	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months US - Until Superseded	
PM - Permanent		



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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 1013 John P. McGovern Academy Of Oslerian Medicine

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	101302	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.		38	101302	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End LA - Life Of Asset PM - Permanent FE - Fiscal Year End MO - Months US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal
		N - New D - Deleted C - Changed



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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1015 University Conferences And Events / University Events
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	101501	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.		49	101501	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1016 HPLA / Osher Lifelong Learning Institute
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	101601	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.		52	101601	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2001 Information Security								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1	200101	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O		64	200101	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 2009 OLRA / Office Of Technology Transfer

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
5.1	200919	License Contracts And Agreements This records series documents contracts and agreements between the institution and private corporations and/or vendors for the development and marketing of devices, compounds and procedures. Records may include, but are not limited to: license agreements specifying patent, marketing and percentage distribution when the device, compound or procedure is available for sale on the market, and all related correspondence.	AC	7	AC+7	AC = Life of Patent or term of agreement, whichever is longer. Government Code, 441.1855.		83	200919	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal N - New D - Deleted C - Changed



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2012 Finance / Controller / Treasury									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1	201201	Agreement Administration Records This series provides a record of all phases of the administration of agreements from negotiation to final performance. Records may include but are not limited to: negotiation issues documentation, memos of understanding, a copy of the agreement, amendments, scope of work, terms and conditions, billing and payment documentation, and related correspondence.	AC+6	0	AC+6	AC = Completion of the agreement and all actions have been finalized. 45 CFR §164.530(j)(2).			85	201201	D
4.2.002	201208	Cash Receipts Includes receipts for fees (permits, licenses, renewals, etc.)	FE	3	FE+3				88	201208	C
4.2.003	201209	Daily Cash Receipts Logs	FE	3	FE+3				88	201209	C
4.2.006	201210	General Journal Vouchers A record of budget entries and transfers of funds between an agency's budgets.	FE+1	8	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.			88	201210	D
4.5.002	201211	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE	3	FE+3	Monthly reconciliation and approval of expenses required by internal audit.			88	201211	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value						Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal				Amendment Codes (Field 12) N - New D - Deleted C - Changed	
CE - Calendar Year End		LA - Life Of Asset		PM - Permanent							
FE - Fiscal Year End		MO - Months		US - Until Superseded							



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2012 Finance / Controller / Treasury											
723		6. Record Series Title			7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend.
4. Records Series Item No.	5. Agency Item Number				Agency	Storage	Total	9. Remarks		106 No.	Pg No.	AIN	Type
4.6.001	201212	Balancing Records			FE	3	FE+3				88	201212	D
4.6.002	201213	Reconciliations			FE+1	2	FE+3				89	201213	D

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months US - Until Superseded	
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2013 Finance / Controller / Asset Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
5.1.001	201312	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+1	6	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		93	201312	C

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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2022 OLRA / Office Of Legal And Regulatory Affairs
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
1.1	202201	Subpoenas Legal document requiring recipient to appear in court to testify, or to produce records to be used in litigation.	AC+1	0	AC+1	AC = Subpoena fulfilled, end of review period, or conclusion of a specific request, whichever longer. CAUTION: Some information may be exempt from public disclosure. If UTMB is a non-party entity, but might anticipate litigation for the records being subpoenaed, then a litigation hold needs to be placed on the records associated until it can be confirmed that UTMB will not become a party in the litigation. If UTMB is a party, SEE item number 1.1.048.		137	202201	C
5.1	202227	Performance Agreements This series provides a record of Personal/Professional Services Contracts between the institution and independent contractors for professional, specialized, educational, or creative services. The contracts are for a one-time performance of services or for services provided on a continuing basis. This series may include but is not limited to: the performance agreement or contract, negotiation documentation, amendments, scope of work, terms and conditions, billing and payment documentation, and related documentation and correspondence.	AC+7	0	AC+7	AC = After completion of agreement. Government Code, 441.1855.		143	202227	C
5.1.001	202228	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		143	202228	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	202301	Agreement Administration Records This series provides a record of all phases of the administration of agreements from negotiation to final performance. Records may include but are not limited to: negotiation issues documentation, memos of understanding, a copy of the agreement, amendments, scope of work, terms and conditions, billing and payment documentation, and related correspondence.	AC+7	0	AC+7			145	202301	C
1.1	202303	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O		145	202303	C
5.1.013	202332	Insurance Policies For vehicles, equipment, etc.	AC+7	0	AC+7			153	202332	C

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 2026 BOF / Supply Chain / Mail Services

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
5.1	202609	University Mailbox Records Rental Agreements For Postal Boxes. This records series may include but is not limited to: Application Forms, Renewal Notices, Closeout Notices, Receipts, Forwarding Information.	AC+7	0	AC+7	AC = Termination of agreement. Government Code, 441.1855.		164	202609	C
5.1.015	202610	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	0	1			164	202610	D

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.070	203209	Agency Rules, Policies, and Procedures - Asbestos This records series consists of asbestos awareness information and may include but not be limited to manuals, policies, procedures, or similar records and related correspondence.	AV	PM	PM	O SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071. Retention is based on department policy when dealing with Asbestos materials.		168	203209	D
5.1.010	203214	Licenses and Permits for Non-vehicles Does not include licenses and permits issued by an agency as part of its statutory responsibilities.	PM	0	PM	Retention is based on department policy when dealing with Asbestos materials.		169	203214	D
5.4	203216	Asbestos Records This series documents a building by building survey and plan to correct asbestos material hazards. This series may include but is not limited to: surveys, monitoring tests and reports, data forms, building plans, correction checklists, removal job records, and related documentation and correspondence.	3	PM	PM	25 TAC 295.62(a).		169	203216	D
5.4	203218	Inspection Records - Biological This series documents inspections done by Biological Safety in the course of routine business, and is used by the institution to correct and analyze safety problems and to document compliance with regulations. This series may include but is not limited to: inspection sheets which show date of inspection, notation of violations, and suggested corrective measures, reports acknowledging compliance with regulations, authorizing signatures, and any related information, documentation and correspondence.	AC	3	AC+3	AC = Inspection Superseded, deficiency corrected, or research terminated. CAUTION: Does not include inspection reports of building construction. SEE item number 5.2.028.		170	203218	C

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Archival Codes (Field 8)

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Amendment Codes (Field 12)

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
5.4	203219	Employee Health Records This series documents the medical fitness and health of all University employees. This series may include but is not limited to: physician medical statement, health assessment, immunization records, exposure to hazardous conditions such as Class B and C carcinogenic compounds, asbestos, lead, excessive noise, related documentation and correspondence.	AC+30	0	AC+30	AC = After separation for records documenting persons contacting or removing hazardous materials. 29 CFR 1910.1020 (d)(1)(i)-(iii).		170	203219	D	
5.4	203220	Select Agents and Toxins Records Records may include but are not limited to: inventories for select agents and toxins held in long-term storage. This includes: name and characteristics, quantity, date of acquisition and source, storage location, tracking of time of movement and by whom, which agent used, purpose of use, quantity used, and by whom. Records also must include date, sender, and recipient for intra-entity transfers. If destroyed, include quantity of toxin destroyed, date and by whom, a list of all individuals granted access approval from the Health and Human Services secretary or administrator, information about all entries into areas containing select agents (must include name of individual, name of escort, date and time), and written explanations of any discrepancies.	AC+3	0	AC+3	AC = Until superseded, or select agents and toxins are destroyed or removed from inventory. 42 CFR 73.17(c).		170	203220	C	
5.4.008	203221	Hazard Communication Plans	US+5	0	US+5	Texas Health and Safety Code, 502.009(g).		171	203221	D	
5.4.010	203222	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.		171	203222	D	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
9.1.074	203223	Course Evaluations - Non-Tenure Track This records series consists of information/surveys done to evaluate the course and/or the instructor of non-tenure track faculty. May include correspondence, reports, etc.	AC+3	0	AC+3	AC = After term in which course is taught.		171	203223	C	
5.4	203224	Notification Of Use (NOU) Of Biological And Recombinant Material The Notification of Use (NOU) of Biological and Recombinant Material is submitted to the Institutional Biosafety Committee prior to research commencing.	AC	0	AC	AC = Research renewed or closed.				N	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.070	203414	Agency Rules, Policies, and Procedures - Asbestos 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.	AV	PM	PM	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				N
5.1.010	203415	Licenses and Permits for Non-vehicles Does not include licenses and permits issued by an agency as part of its statutory responsibilities.	AC+2	0	AC+2		AC = Expiration date of license or permit.				N
5.4.008	203416	Hazard Communication Plans	US+5	0	US+5		Texas Health and Safety Code, 502.009(g).				N
5.4.010	203417	Material Safety Data Sheets	AC	0	AC		AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				N
5.4	203418	Asbestos Records This series documents a building by building survey and plan to correct asbestos material hazards. This series may include but is not limited to: surveys, monitoring tests and reports, data forms, building plans, correction checklists, removal job records, and related documentation and correspondence.	PM	0	PM		25 TAC 295.62(a).				N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
4.1.002	203841	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				N	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1	204602	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.		216	204602	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
5.1.001	205505	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		230	205505	C	
5.1.013	205506	Insurance Policies For vehicles, equipment, etc.	AC+7	0	AC+7	AC = Expiration or termination of the policy according to its terms. Government Code, 441.1855.		230	205506	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		106 No.	Pg No.	AIN	
5.1	205624	Housing / Tenant Records This series provides a record of occupancy in all institution administered housing. This series may include but is not limited to: reservation/housing agreements, tenant rent and deposit receipts, tenant discrepancy memos, rent delinquent notices, vacating notices; and related documentation and correspondence.	AC+7	0	AC+7	AC = After expiration of contract. Government Code, 441.1855.			238	205624	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1	206401	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+1	5	FE+6	O	ARCHIVES NOTE: Maintain for FE+6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001. Retention is based on department policy.		241	206401	C
5.1.001	206414	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+7	0	AC+7		AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		245	206414	C

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2065 Finance / Payroll Services									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	206502	Subpoenas Legal document requiring recipient to appear in court to testify, or to produce records to be used in litigation.	AC+1	0	AC+1	AC = Subpoena fulfilled, end of review period, or conclusion of a specific request, whichever longer. CAUTION: Some information may be exempt from public disclosure. If UTMB is a non-party entity, but might anticipate litigation for the records being subpoenaed, then a litigation hold needs to be placed on the records associated until it can be confirmed that UTMB will not become a party in the litigation. If UTMB is a party, SEE item number 1.1.048.		246	206502	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks	106 No.	Pg No.	AIN		
5.1.001	206813	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		257	206813	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.065	206904	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.		259	206904	D
1.1.070	206906	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.		260	206906	D
3.4	206907	Family Medical Leave Case Files This series documents requests for leave and granted leave by employees under provisions of the Federal Family and Medical Leave Act (FMLA) and the UTMB Family Medical Leave Policy. Records may include but are not limited to: employee leave request forms; notices to employees of leaves granted or rejected; Certification of Health Care Providers for the employee or a family member; employee backup information and leave history records; employee time records; Continuation of Health and Dental Insurance Benefits Memorandum; and related documentation and correspondence.	FE+3	0	FE+3	29 CFR 825.500.		260	206907	C
3.4	206908	Leave Management Case Files This records series documents leave that has been granted to eligible employees. Records may include but are not limited to: Sick Leave Pool Case Files that document who has been granted pool leave and the number of hours the individual has received; and Leave of Absence Case Files.	FE+3	0	FE+3			260	206908	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	106 No.	Pg No.	AIN	
4.5.002	206911	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.		261	206911	D

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	207501	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O		279	207501	C	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1	207801	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O		284	207801	C	

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON									
		RMAN: 2085 HR / Business Operations									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	208501	Subpoenas Legal document requiring recipient to appear in court to testify, or to produce records to be used in litigation.	AC+1	0	AC+1	AC = Subpoena fulfilled, end of review period, or conclusion of a specific request, whichever longer. CAUTION: Some information may be exempt from public disclosure. If UTMB is a non-party entity, but might anticipate litigation for the records being subpoenaed, then a litigation hold needs to be placed on the records associated until it can be confirmed that UTMB will not become a party in the litigation. If UTMB is a party, SEE item number 1.1.048.		295	208501	C	

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2087 Office Of The Executive Vice President / Business And Finance									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
4.5.006	208714	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3			309	208714	D	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2088 BOF / Facilities Risk Management									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	208802	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.		A1-28	208802	C	
5.1.013	208824	Insurance Policies For vehicles, equipment, etc.	AC+7	0	AC+7		AC = Expiration or termination of the policy according to its terms. Government Code, 441.1855.		A1-34	208824	C

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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	300501	Agreement Administration Records This series provides a record of all phases of the administration of agreements from negotiation to final performance. Records may include but are not limited to: negotiation issues documentation, memos of understanding, a copy of the agreement, amendments, scope of work, terms and conditions, billing and payment documentation, and related correspondence.	AC+7	0	AC+7	AC = Completion of the agreement and all actions have been finalized. 45 CFR §164.530(j)(2). Government Code, 441.1855.		321	300501	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1	300601	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.		325	300601	C
5.1.001	300620	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+7	0	AC+7		AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		330	300620	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1	300702	Subpoenas Legal document requiring recipient to appear in court to testify, or to produce records to be used in litigation.	AC+5	0	AC+5	<input type="checkbox"/> AC = Subpoena fulfilled, end of review period, or conclusion of a specific request, whichever longer. CAUTION: Some information may be exempt from public disclosure. If UTMB is a non-party entity, but might anticipate litigation for the records being subpoenaed, then a litigation hold needs to be placed on the records associated until it can be confirmed that UTMB will not become a party in the litigation. If UTMB is a party, SEE item number 1.1.048. Retention is based on department policy.		332	300702	C	
1.1	300725	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	<input type="checkbox"/> ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.				N	
1.1	300726	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	<input type="checkbox"/> ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.				N	

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			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	300727	Professional Committee Working Files Internal and external professional committees and work groups. Includes notes, work papers, reference materials, research, committee appointments, charters, and any other supporting documentation.	AC	0	AC	AC = Termination of service on committee, disbanding of committee, or records of committee no longer administratively valuable to the university. CAUTION: If the committee is funded by a grant, records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				N	

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			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1	300801	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				N
1.1	300802	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O				N
1.1	300803	Projects This series documents the activities of an office which are performed in addition to its regular duties. This series may include completed surveys and questionnaires, working papers for the project, questionnaire and survey forms; and other related correspondence.	AC+3	0	AC+3	O				N

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			Agency	Storage	Total	9. Remarks			Pg No.	AIN	
1.1	300804	Subpoenas Legal document requiring recipient to appear in court to testify, or to produce records to be used in litigation.	AC+1	0	AC+1	AC = Subpoena fulfilled, end of review period, or conclusion of a specific request, whichever longer. CAUTION: Some information may be exempt from public disclosure. If UTMB is a non-party entity, but might anticipate litigation for the records being subpoenaed, then a litigation hold needs to be placed on the records associated until it can be confirmed that UTMB will not become a party in the litigation. If UTMB is a party, SEE item number 1.1.048.					N
1.1	300805	Professional Committee Working Files Internal and external professional committees and work groups. Includes notes, work papers, reference materials, research, committee appointments, charters, and any other supporting documentation.	AC	0	AC	AC = Termination of service on committee, disbanding of committee, or records of committee no longer administratively valuable to the university. CAUTION: If the committee is funded by a grant, records must be retained in accordance with individual guidelines of the grant or cooperative agreement.					N
1.1.002	300806	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	0	AC+7	AC = Publication or release of final audit findings. The record copy of any audit performed by the State Auditor's Office is retained permanently by UTMB's Internal Audit Services Consulting And Investigation.					N

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			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1.007	300807	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	0	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 University 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.				N	
1.1.008	300808	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				N	

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			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.013	300809	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				N
1.1.020	300810	Public Information Requests - Not Exempted Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code).	AC+1	0	AC+1		AC = Date request fulfilled.				N
1.1.023	300811	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I	Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.				N
1.1.024	300812	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.				N

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Archival Codes (Field 8)

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Amendment Codes (Field 12)

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			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.040	300813	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				N
1.1.055	300814	Strategic Plans Information resources and operational strategic plans prepared in accordance with 2054.095 and 2056.002, Government Code.	AC+6	0	AC+6	I	AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.				N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
1.1.057	300815	<p>Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series.</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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				N	
1.1.063	300816	<p>Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					N	
1.1.065	300817	<p>Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				N	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.067	300818	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				N
1.1.070	300819	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				N
3.4.006	300820	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4		40 TAC 815.106(i).				N
3.4.007	300821	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3						N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
4.1.001	300822	Accounts Payable Information This series documents an agency's expenditures and purchases. Records may include but are not limited to: departmental purchase orders, contract release orders, balance sheets, bills, invoices, invoice vouchers, journal voucher/entry forms, and related documentation and correspondence.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are comingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				N
4.2.005	300823	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9					N
4.4	300824	Accounts Receivable Records This series is used to provide a record of billings and collections for the programs or services provided. It is also used to provide a record of customers owing monies and to reconcile the account. Records may include but are not limited to: account edit sheets, payment methods, invoices, journal vouchers, billing detail, receipts or receipt books, reconciliations, and related documentation and correspondence.	FE+3	0	FE+3					N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10.	11. Current Schedule		12.
			Agency	Storage	Total	9. Remarks		106 No.	Pg No.	AIN	Amend. Type
4.5.002	300825	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.					N
4.5.006	300826	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3						N
4.6.002	300827	Reconciliations	FE+3	0	FE+3						N
4.7.012	300828	Signature Authorizations Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	US+FE+3	0	US+FE+3						N
5.1.001	300829	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.					N
5.1.004	300830	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.					N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
5.1.014	300831	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	0	US+1					N
5.4	300832	Disaster Preparedness Drills This records series consists of the results of disaster preparedness exercises and the supporting documents including scenarios, location of safety related drills, timetables, response times, probable outcomes, areas of difficulties, description of how difficulties were resolved, and areas for improvement. Types of drills may include: hurricane, freezing weather, fire, and chemical spills.	FE+3	0	FE+3					N
5.4.013	300833	Disaster Preparedness and Recovery Plans Emergency preparedness procedures in the event of severe weather or any potential damage to institutional property due to storms, riots, fires, droughts, floods, or other events which could affect normal operations and facilities within the jurisdiction of the institution. The preparedness portion may include but is not limited to: department specific procedures, a list of essential employees, housing, emergency numbers, etc. The recovery portion may include but is not limited to: diaries, logs, reports, photographs, notes which indicate or document what happened, when, and where, and related documentation and correspondence.	US	0	US					N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	301702	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O		357	301702	C	
						ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.					

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PM - Permanent		



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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
1.1	303602	Subpoenas Legal document requiring recipient to appear in court to testify, or to produce records to be used in litigation.	AC+1	0	AC+1	AC = Subpoena fulfilled, end of review period, or conclusion of a specific request, whichever longer. CAUTION: Some information may be exempt from public disclosure. If UTMB is a non-party entity, but might anticipate litigation for the records being subpoenaed, then a litigation hold needs to be placed on the records associated until it can be confirmed that UTMB will not become a party in the litigation. If UTMB is a party, SEE item number 1.1.048.		386	303602	C	

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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	303702	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O		394	303702	C	
						ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.					

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	303801	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.		401	303801	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
5.1.001	304509	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		407	304509	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	305302	Agreement Administration Records This series provides a record of all phases of the administration of agreements from negotiation to final performance. Records may include but are not limited to: negotiation issues documentation, memos of understanding, a copy of the agreement, amendments, scope of work, terms and conditions, billing and payment documentation, and related correspondence.	AC+7	0	AC+7	AC = Completion of the agreement and all actions have been finalized. 45 CFR §164.530(j)(2). Government Code, 441.1855.		440	305302	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
5.1.001	305410	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.			A1-48	305410	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
	306410	Final Laboratory Test Reports This records series consists of the legally reproduced copies of each test result and preliminary reports on pathology testing. Documentation includes all the information recorded on the test requisition plus the specimen's accession number, the date and time the lab received the specimen, the condition and disposition of samples which do not meet the lab's acceptance standards, the records and dates of performance of each step in the patient testing leading to and including the final report.	1	9	10			483	306410	C	
1.1.065	306414	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	AV					N	
1.1.067	306415	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O				N	
5.2.008	306416	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.	LA+3	0	LA+3					N	
8.1	306417	Disclosure of Protected Health Information This records series documents disclosure of Protected Health Information (PHI) in accordance with the Health Information Portability and Accountability Act (HIPAA) compliance regulations.	FE	6	FE+6					N	

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723							Agency Storage Total			9. Remarks		106 No.	Pg No.	AIN	
4. Records Series Item No.	5. Agency Item Number														
1.1.008	307301			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	0	2						497	307301	D
1.1.057	307302			Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC						497	307302	D
1.1.070	307303			Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O					497	307303	D

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			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
3.3.020	307304	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1			497	307304	D	
3.4.006	307305	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).		498	307305	D	
3.4.007	307306	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3			498	307306	D	
5.1.004	307307	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.		498	307307	D	
5.2.005	307308	Calibration Records (Equipment or Instrument)	10	0	10			498	307308	D	
5.2.018	307309	Quality Control Reports	2	0	2			498	307309	D	
5.3.005	307310	Packing Slips This series documents the receipt of equipment, supplies, other items, and services from vendors. The series includes: packing slips, shipping and container lists, and bills of lading.	AV	0	AV			498	307310	D	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3073 Radiology Service / Nuclear Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
	307311	Medical Research / Participant This series includes records collected for research purposes when UTMB is a clinical investigation site for an outside entity conducting the research. Records may include but are not limited to: the research services agreement with the outside entity and any research data collected and submitted to that outside entity for its study as well as any related documentation and correspondence.	AC+4	0	AC+4	AC = After completion of study.		498	307311	D
	307312	Pharmacy Prescription Dispensation Records This series is used to provide an individual, daily summary, and annual summary record of initial drug dispensation and refills administered by the department as required by the Texas State Pharmacy Board. This series may include but is not limited to: prescription slips, in-house computer-generated Rx registers, controlled substance reports, and database purge reports.	3	0	3			499	307312	D

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3079 Rehabilitation Services / Administration									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	307902	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.		518	307902	C	
5.1.001	307926	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+7	0	AC+7		AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		524	307926	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3087 Chronic Home Dialysis and Acute Dialysis								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
5.2.008	308717	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.	LA+3	0	LA+3			537	308717	D
8.1	308722	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					N

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3092 Patient Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
3.4.006	309211	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE	4	FE+4	40 TAC 815.106(i).		547	309211	C
4.5.002	309213	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE	3	FE+3	Monthly reconciliation and approval of expenses required by internal audit.		547	309213	C
4.6.002	309214	Reconciliations	FE	3	FE+3			548	309214	C

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3105 OB/GYN / Gynecology									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		106 No.	Pg No.	AIN	
8.1	310516	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3						N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	310702	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O		569	310702	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1	310802	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O		577	310802	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		106 No.	Pg No.	AIN	
1.1	311101	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.		587	311101	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
5.4	311211	Inspection Records - Biological This series documents inspections done by Biological Safety in the course of routine business, and is used by the institution to correct and analyze safety problems and to document compliance with regulations. This series may include but is not limited to: inspection sheets which show date of inspection, notation of violations, and suggested corrective measures, reports acknowledging compliance with regulations, authorizing signatures, and any related information, documentation and correspondence.	AC+5	0	AC+5	AC = Inspection Superseded, deficiency corrected, or research terminated. CAUTION: Does not include inspection reports of building construction. SEE item number 5.2.028. Retention is based on 25 TAC 479.2(b)(1)(B).		595	311211	C

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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
5.1.001	313422	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		611	313422	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1	315601	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O		677	315601	D	
1.1.040	315604	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.	678	315604	D	
1.1.043	315605	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1			678	315605	D	
1.1.069	315608	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	0	1		CAUTION: SEE item number 1.1.064.	679	315608	D	

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3157 Nursing Services / WIC / Pediatric Med/Surg And PICU (J10AB)									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
3.4.007	315709	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+1	2	FE+3			683	315709	C	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3159 Nursing Services / WIC / Post Partum (6C/D)									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1	315911	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.				N	
1.1.040	315912	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				N	
1.1.043	315913	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					N	
1.1.069	315914	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	0	1	CAUTION: SEE item number 1.1.064.				N	
3.3.020	315915	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					N	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1	316601	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.		716	316601	D
1.1.006	316602	Complaint Records Complaints received by the agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+2	0	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 (litigation files).		716	316602	D

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.007	316603	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	0	4	O		716	316603	D
1.1.008	316604	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.	717	316604	D

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			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.013	316605	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.		717	316605	D
1.1.040	316606	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.		717	316606	D
1.1.043	316607	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1				717	316607	D

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.057	316608	<p>Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series.</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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>		718	316608	D
1.1.063	316609	<p>Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1			718	316609	D
1.1.069	316610	<p>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.</p>	1	0	1	CAUTION: SEE item number 1.1.064.		718	316610	D

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 CE - Calendar Year End
 FE - Fiscal Year End
 LA - Life Of Asset
 MO - Months
 PM - Permanent
 US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
 O - Review Required Before Disposal

Amendment Codes (Field 12)

N - New
 D - Deleted
 C - Changed



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3166 Ambulatory Operations / Victory Lakes / Advanced Imaging Center									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.3.001	316611	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	AC+2			719	316611	D	
1.3.002	316612	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O		719	316612	D	
3.3.020	316613	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1			719	316613	D	
3.3.027	316614	Aptitude and Skills Tests Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US+2	0	US+2		29 CFR 1602.49 (State Universities). CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.	719	316614	D	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3166 Ambulatory Operations / Victory Lakes / Advanced Imaging Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
3.3.028	316615	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	0	2	29 CFR 1602.49 (State Universities).		720	316615	D
3.4.006	316616	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE	4	FE+4	40 TAC 815.106(i).		720	316616	D
3.4.007	316617	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE	3	FE+3			720	316617	D
5.1.004	316618	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.		720	316618	D
5.1.012	316619	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	0	US+3			720	316619	D
5.2.009	316620	Equipment Inventory Detail Report Forms Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE+3	0	FE+3			720	316620	D

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CE - Calendar Year End		LA - Life Of Asset		PM - Permanent							
FE - Fiscal Year End		MO - Months		US - Until Superseded							



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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
5.2.010	316621	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.		721	316621	D	
5.2.018	316622	Quality Control Reports	2	0	2			721	316622	D	
5.3.005	316623	Packing Slips This series documents the receipt of equipment, supplies, other items, and services from vendors. The series includes: packing slips, shipping and container lists, and bills of lading.	AV	0	AV			721	316623	D	
5.4.007	316624	Hazardous Materials Training Records Records of training given to employees in an agency hazard communications program.	5	0	5		Texas Health and Safety Code, 502.009(g).		721	316624	D
5.4.008	316625	Hazard Communication Plans	US+5	0	US+5		Texas Health and Safety Code, 502.009(g).		721	316625	D
5.4.009	316626	Workplace Chemical Lists	30	0	30		Texas Health and Safety Code, 502.005(d).		721	316626	D

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
5.4.010	316627	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.		721	316627	D	
	316628	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE	5	FE+5			722	316628	D	
	316629	Source Data / Medical / Mammography This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE+10	0	FE+10		Retention is based on Texas Health & Safety Code § 401.424 and 25 Texas Administrative Code § 289.230(t)(4) (2007) (Department of State Health Services, Radiation Control)		722	316629	D

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			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
	316709	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	1	2	3				725	316709	C

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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
5.1.001	316817	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		730	316817	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
5.1.001	400415	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		753	400415	C

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723		6. Record Series Title			7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend.
4. Records Series Item No.	5. Agency Item Number				Agency	Storage	Total	9. Remarks		106 No.	Pg No.	AIN	Type
5.1.013	400617	Insurance Policies For vehicles, equipment, etc.			AC+4	0	AC+4	AC = Expiration or termination of the policy according to its terms.			769	400617	D

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4008 Area Health Education Center (AHEC)

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
5.1	400821	Housing / Tenant Records This series provides a record of occupancy in all institution administered housing. This series may include but is not limited to: reservation/housing agreements, tenant rent and deposit receipts, tenant discrepancy memos, rent delinquent notices, vacating notices; and related documentation and correspondence.	AC+7	0	AC+7	AC = After expiration of contract. Government Code, 441.1855.		782	400821	C

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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
5.1.001	401016	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		789	401016	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
4.2.005	401409	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9			794	401409	D	
1.1.013	401430	Calendars, Appointment Books 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	0	CE+1	O				N	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
9.1.068	401431	Honors / Awards / Supporting Documentation Records that document the process of selecting honors and award winners. Records may include but are not limited to: applications, nomination letters, recommendations, letters of award notification or denial, letters accepting or declining awards, vote tallies, transcripts, CV's, essays, course evaluations, ranking sheets, and related documentation and correspondence.	FE+3	0	FE+3					N	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1	401601	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O		810	401601	C
3.4.006	401613	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE	4	FE+4			814	401613	C
3.4.007	401614	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE	3	FE+3			814	401614	C
1.1	401638	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O				N

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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
4.1.001	401639	Accounts Payable Information This series documents an agency's expenditures and purchases. Records may include but are not limited to: departmental purchase orders, contract release orders, balance sheets, bills, invoices, invoice vouchers, journal voucher/entry forms, and related documentation and correspondence.	FE	9	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				N	

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			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	402602	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.		837	402602	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1	402802	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.		848	402802	C
1.1.019	402808	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	0	2	O			850	402808	D
1.3.001	402814	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).		852	402814	D

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
 AV - Administrative Value
 CE - Calendar Year End
 FE - Fiscal Year End
 LA - Life Of Asset
 MO - Months
 PM - Permanent
 US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
 O - Review Required Before Disposal

Amendment Codes (Field 12)

N - New
 D - Deleted
 C - Changed



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			Agency	Storage	Total	O	9. Remarks		Pg No.	AIN	
1.3.002	402815	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O			852	402815	D
3.1	402816	Appointment, Promotion, And Tenure Records This series documents the periodic consideration of faculty who are eligible for promotion in rank and change in tenure status, appointments to the ranks of Associate Professor and Professor and to endowed Chairs and Professorships, and compliance with U.T. System regulations for periodic performance evaluation of tenured faculty. Records may include but are not limited to appointment, promotion and tenure proposals submitted by departments for review by the School of Medicine Appointment, Promotion, and Tenure (APT) Committee and the Executive Committee - Faculty of Medicine, committee recommendations and approvals, and documentation of post-tenure review recommendations. Proposals may include but are not limited to: Chairs' letter of proposal, departmental APT committee's letter of recommendation, letters of evaluation and a current curriculum vitae. These files should always be maintained physically separate from faculty files.	AC+5	0	AC+5	O	AC = Termination of Employment. 29 CFR 1602.49.		853	402816	D
5.1.004	402817	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	0	US		Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.		853	402817	D

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			Agency	Storage	Total			9. Remarks	Pg No.	
3.1	402818	Faculty and Non-teaching Recruitment Records This records series documents the recruitment of faculty and non-teaching positions by the University. Records may include but are not limited to: request to post, position description, recruiting plan (includes search committee list), advertising, interview detail, Approval To Interview Form (pre-interview summary), applicants recommended for interview, CV's for all applicants listed and related correspondence.	FE+2	0	FE+2			A1-89	402818	D

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed



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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.007	403101	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	0	4	O		854	403101	D	
5.1.001	403110	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+6	0	AC+6		AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2).	857	403110	D	

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			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	403201	Administrative Reference Files These records are created to assist in the completion of projects and/or reference, and are usually only needed for a short period of time.	1	0	1			858	403201	D	
1.1.007	403203	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	0	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 University 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.	858	403203	D	
1.1.040	403205	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.	859	403205	D	

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			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.063	403207	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1			859	403207	D	
1.3.001	403209	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).		860	403209	D	
1.3.002	403210	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O		860	403210	D	
5.2.005	403213	Calibration Records (Equipment or Instrument)	10	0	10			861	403213	D	
5.2.018	403214	Quality Control Reports	2	0	2			861	403214	D	

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			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
	403218	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3			862	403218	D	
	403219	Medical Research / Participant This series includes records collected for research purposes when UTMB is a clinical investigation site for an outside entity conducting the research. Records may include but are not limited to: the research services agreement with the outside entity and any research data collected and submitted to that outside entity for its study as well as any related documentation and correspondence.	AC+4	0	AC+4	AC = After completion of study.		862	403219	D	
	403221	Surgical Instrument Sterilization Records This series documents the sterilization of surgical instruments. This series may include but is not limited to: autoclave recording charts and log sheets indicating date, load number, items sterilized, and temperature / time settings.	FE+3	0	FE+3			862	403221	D	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	403301	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				N
1.1.007	403302	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	0	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 University 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.			N
1.1.008	403303	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			N

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1.1.013	403304	Calendars, Appointment Books 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	0	CE+1	O				N
1.1.038	403305	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+5	0	AC+5	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.				N

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			Agency	Storage	Total			Pg No.	AIN		
1.1.057	403306	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				N	
3.3.020	403307	<p>Work Schedules / Assignments</p> <p>Work, duty, shift, crew, or case schedules, rosters, or assignments.</p>	1	0	1					N	
5.1	403308	<p>Shipping Records</p> <p>This series provides a record of items that are mailed by the department via UPS, Federal Express, or another carrier. Records may be used for billing and/or tracking. These records include: printing and mailing shipping forms; parcel mailing order forms; and related correspondence.</p>	1	0	1					N	

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			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
9.1.010	403309	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor of tenure track faculty. May include correspondence, reports, etc.	AC+7	0	AC+7	AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).				N
9.1.023	403310	Internship Program Records This series is used to provide a record of the administration of student internship, practicum, clinical rotation, and cooperative education programs. Programs may be within the institution or off campus and for class credit and/or pay. Records may include but are not limited to: applications for internships inside and external to the institution, agreements with departments, postings/notices, student resumes, transcripts, copies of contracts, proposed institution listings, notes, and related documentation and correspondence.	AC+5	0	AC+5	AC = After graduation or date of last attendance.				N
9.1.031	403311	Program And Course Development Records This records series documents the development, approval, and the implementation of undergraduate, graduate, and professional degree programs and any other reorganizations or changes to established programs. Records may include but are not limited to: working papers, final reports, related course descriptions, outlines, sample examinations, textbook lists, etc.	6	0	6	O				N

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			Agency	Storage	Total			Pg No.	AIN		
9.1.041	403312	Student Academic Records Records may include but are not limited to: date of admission, period of attendance, academic work undertaken, academic work successfully completed, honors awarded, diploma, degree, or certificate earned, and appropriate evaluation of work completed for students such as medical, nurses, and other professional type students. Also includes course changes and add/drops.	AC+10	0	AC+10	AC = Graduation or date of last attendance.				N	
9.1.048	403313	Test Questions And Examinations Records may include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC+2	0	AC+2	AC = After graduation or date of last attendance.				N	
9.1.066	403314	Student Misconduct Records This series is used to provide a record of accusations of misconduct brought forward by faculty, students, and individuals external to the institution relating to student misconduct. Records may include but are not limited to: accusation statements, inquiry committee findings, copies of subpoenas, attorney notes, court judgments, and related correspondence.	AC+5	0	AC+5	AC = After completion of investigation.				N	

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			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	403401	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				N
1.1.007	403402	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	0	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 University 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.			N
1.1.008	403403	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.013	403404	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				N
1.1.038	403405	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+5	0	AC+5	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.				N

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4034 SON / DNP Program									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks	106 No.	Pg No.	AIN		
1.1.057	403406	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				N	
1.1.065	403407	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				N	
1.1.067	403408	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	5	0	5	O	<p>ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>			N	

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 AV - Administrative Value
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 LA - Life Of Asset
 MO - Months
 PM - Permanent
 US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
 O - Review Required Before Disposal

Amendment Codes (Field 12)

N - New
 D - Deleted
 C - Changed



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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
9.1.010	403409	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor of tenure track faculty. May include correspondence, reports, etc.	AC+7	0	AC+7					N	
9.1.031	403410	Program And Course Development Records This records series documents the development, approval, and the implementation of undergraduate, graduate, and professional degree programs and any other reorganizations or changes to established programs. Records may include but are not limited to: working papers, final reports, related course descriptions, outlines, sample examinations, textbook lists, etc.	6	0	6	O				N	
9.1.041	403411	Student Academic Records Records may include but are not be limited to: date of admission, period of attendance, academic work undertaken, academic work successfully completed, honors awarded, diploma, degree, or certificate earned, and appropriate evaluation of work completed for students such as medical, nurses, and other professional type students. Also includes course changes and add/drops.	AC+10	0	AC+10					N	
9.1.048	403412	Test Questions And Examinations Records may include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC+2	0	AC+2					N	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4037 Animal Resources Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
5.1.001	403721	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		877	403721	C

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4041 SOM / Dermatology													
2. Agency Code		5. Agency Item Number		6. Record Series Title			7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
723		404112		Internship Program Records This series is used to provide a record of the administration of student internship, practicum, clinical rotation, and cooperative education programs. Programs may be within the institution or off campus and for class credit and/or pay. Records may include but are not limited to: applications for internships inside and external to the institution, agreements with departments, postings/notices, student resumes, transcripts, copies of contracts, proposed institution listings, notes, and related documentation and correspondence.			AC+1	4	AC+5	9. Remarks			882	404112	D
		404115		Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.			AC	50	AC+50	AC = Completion of training.			883	404115	C

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AV - Administrative Value		FE - Fiscal Year End		MO - Months		US - Until Superseded		O - Review Required Before Disposal		C - Changed			



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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	404301	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O		884	404301	C	
						ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4058 SOM / Internal Medicine / Housestaff									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	405817	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.		A1-99	405817	C	

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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1	406002	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.		957	406002	C	
5.1.001	406013	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		960	406013	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1	406202	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.		963	406202	C
9.1.058	406215	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC	50	AC+50	AC = Completion of training.				N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1	406301	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O		968	406301	C	
						ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	406501	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.		982	406501	C	

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RMAN: 4068 SHP / Clinical Laboratory Sciences

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	406802	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.		991	406802	C

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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
	407124	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	AC+1	6	AC+7	AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).		1010	407124	C	
3.3.020	407132	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					N	
9.1.041	407133	Student Academic Records Records may include but are not be limited to: date of admission, period of attendance, academic work undertaken, academic work successfully completed, honors awarded, diploma, degree, or certificate earned, and appropriate evaluation of work completed for students such as medical, nurses, and other professional type students. Also includes course changes and add/drops.	AC+1	9	AC+10	AC = Graduation or date of last attendance.				N	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4077 OB/GYN / Residency Education									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	407702	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.		1031	407702	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
5.1	409126	Housing / Tenant Records This series provides a record of occupancy in all institution administered housing. This series may include but is not limited to: reservation/housing agreements, tenant rent and deposit receipts, tenant discrepancy memos, rent delinquent notices, vacating notices; and related documentation and correspondence.	AC+7	0	AC+7	AC = After expiration of contract. Government Code, 441.1855.		1046	409126	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
5.1.001	409517	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		1064	409517	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	409904	Subpoenas Legal document requiring recipient to appear in court to testify, or to produce records to be used in litigation.	AC	1	AC+1	AC = Subpoena fulfilled, end of review period, or conclusion of a specific request, whichever longer. CAUTION: Some information may be exempt from public disclosure. If UTMB is a non-party entity, but might anticipate litigation for the records being subpoenaed, then a litigation hold needs to be placed on the records associated until it can be confirmed that UTMB will not become a party in the litigation. If UTMB is a party, SEE item number 1.1.048.		1067	409904	C	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	
PM - Permanent US - Until Superseded		



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4115 SOM / Pediatric Critical Care Medicine									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks			Pg No.	AIN	
3.4.007	411508	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3				1125	411508	D

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AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
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PM - Permanent		



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4116 SOM / Pediatrics / Division of Adolescent And Behavioral Health									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
3.4.007	411613	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3				1129	411613	D

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4121 SOM / Pediatrics General									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
1.1	412101	Subpoenas Legal document requiring recipient to appear in court to testify, or to produce records to be used in litigation.	AC+1	0	AC+1	AC = Subpoena fulfilled, end of review period, or conclusion of a specific request, whichever longer. CAUTION: Some information may be exempt from public disclosure. If UTMB is a non-party entity, but might anticipate litigation for the records being subpoenaed, then a litigation hold needs to be placed on the records associated until it can be confirmed that UTMB will not become a party in the litigation. If UTMB is a party, SEE item number 1.1.048.		1150	412101	C	
4.7	412114	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+2	13	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.		1153	412114	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
9.1.056	412715	Honors And Awards / Applications - Not Awarded This series documents the nomination or applications of students for honors or awards that are not awarded.	AC+2	0	AC+2	AC = After completion of application process.				N
9.1.068	412716	Honors / Awards / Supporting Documentation Records that document the process of selecting honors and award winners. Records may include but are not limited to: applications, nomination letters, recommendations, letters of award notification or denial, letters accepting or declining awards, vote tallies, transcripts, CV's, essays, course evaluations, ranking sheets, and related documentation and correspondence.	FE+3	0	FE+3					N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.002	412801	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	0	AC+7			1169	412801	C
1.1	412802	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.		1169	412802	D
1.1.040	412806	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.		1170	412806	D
1.1.070	412808	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.		1171	412808	D

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.3.001	412809	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).		1172	412809	D
1.3.002	412810	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O			1172	412810	D
	412811	Admissions Records / Accepted This series documents the application process for individuals seeking admission to the institution or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC+5	0	AC+5		AC = Graduation or date of last attendance.		1172	412811	D

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10.	11. Current Schedule		12.
			Agency	Storage	Total	9. Remarks		106 No.	Pg No.	AIN	Amend. Type
	412812	Admissions Records / Denied This series documents the applications process for individuals that have been denied admission to the University or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC+1	0	AC+1	AC = After application term.			1173	412812	D
	412813	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	AC+7	0	AC+7	AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).			1173	412813	D
	412814	Grade Reports This series documents grades received by students for the term. The series includes but is not limited to: course numbers and titles, grades awarded, grade point average, student name, and social security number.	AC+1	0	AC+1	AC = Date distributed. Information may be exempt from public disclosure.			1173	412814	D
	412819	Test Questions And Examinations Records may include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC+2	0	AC+2	AC = After graduation or date of last attendance.			1174	412819	D

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
9.1.023	412820	Internship Program Records This series is used to provide a record of the administration of student internship, practicum, clinical rotation, and cooperative education programs. Programs may be within the institution or off campus and for class credit and/or pay. Records may include but are not limited to: applications for internships inside and external to the institution, agreements with departments, postings/notices, student resumes, transcripts, copies of contracts, proposed institution listings, notes, and related documentation and correspondence.	AC+5	0	AC+5	AC = After graduation or date of last attendance.				N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.007	412902	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	0	4	O		1175	412902	D	
1.1.038	412905	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+5	0	AC+5			1176	412905	C	
1.1.063	412907	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1			1177	412907	D	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
1.1.065	412908	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	AV			1177	412908	D	
1.1.067	412909	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O		1177	412909	D	
	412912	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7			1178	412912	D	
	412913	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	AC+7	0	AC+7			1178	412913	D	
	412916	Test Questions And Examinations Records may include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC+2	0	AC+2			1179	412916	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.007	413004	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	0	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 University 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.		1181	413004	D	
	413020	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	AC+7	0	AC+7	AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).		1186	413020	D	

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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	413101	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.		1188	413101	C	
1.1.007	413103	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	0	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 University 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.		1188	413103	D	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
1.1	413201	Agreement Administration Records This series provides a record of all phases of the administration of agreements from negotiation to final performance. Records may include but are not limited to: negotiation issues documentation, memos of understanding, a copy of the agreement, amendments, scope of work, terms and conditions, billing and payment documentation, and related correspondence.	AC+6	0	AC+6			1194	413201	D	
1.1.040	413208	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O		1196	413208	D	
4.1.007	413216	Transfers or Budget Revisions Transfers or adjustment to budgets.	FE+9	0	FE+9			1198	413216	D	
4.5.006	413217	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3			1198	413217	D	

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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
5.1.001	413218	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+6	0	AC+6	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2).		1199	413218	D	
5.2.010	413220	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.		1199	413220	D	
9.1.036	413221	Scholarships Awarded by Department / Selection Records A record of recipients of departmentally-administered scholarship funds (not administered by University Financial Aid Office). May include application materials for students receiving the scholarships; forms rating the applicants; award notification letters, etc	AC+6	0	AC+6	AC = After award.		1199	413221	C	
9.1.035	413222	Scholarship Applications -- Not Awarded A record of students who have applied for departmental scholarships and who have not been awarded scholarship funds.	AC+2	0	AC+2	AC = After completion of application process.		1200	413222	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
3.1	413223	<p>Appointment, Promotion, And Tenure Records</p> <p>This series documents the periodic consideration of faculty who are eligible for promotion in rank and change in tenure status, appointments to the ranks of Associate Professor and Professor and to endowed Chairs and Professorships, and compliance with U.T. System regulations for periodic performance evaluation of tenured faculty. Records may include but are not limited to appointment, promotion and tenure proposals submitted by departments for review by the School of Medicine Appointment, Promotion, and Tenure (APT) Committee and the Executive Committee - Faculty of Medicine, committee recommendations and approvals, and documentation of post-tenure review recommendations. Proposals may include but are not limited to: Chairs' letter of proposal, departmental APT committee's letter of recommendation, letters of evaluation and a current curriculum vitae.</p> <p>These files should always be maintained physically separate from faculty files.</p>	AC+5	0	AC+5	O	AC = Termination of Employment. 29 CFR 1602.49.			N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	413402	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O		1201	413402	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months US - Until Superseded	
PM - Permanent		



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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4146 SHP / Respiratory Care

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
9.1.003	414617	Student Academic Records Records may include but are not be limited to: date of admission, period of attendance, academic work undertaken, academic work successfully completed, honors awarded, diploma, degree, or certificate earned, and appropriate evaluation of work completed for students such as medical, nurses, and other professional type students. Also includes course changes and add/drops.	AC+10	0	AC+10	AC = Graduation or date of last attendance.		1217	414617	D
	414618	Admissions Records / Denied This series documents the applications process for individuals that have been denied admission to the University or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC+1	0	AC+1	AC = After application term.				N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	414902	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O		1218	414902	C	
1.1	414904	Subpoenas Legal document requiring recipient to appear in court to testify, or to produce records to be used in litigation.	AC+1	0	AC+1			1218	414904	C	
8.1	414928	Quality Assurance Records / Health Services This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections, reports by the staff, quality assurance committee notes, staff reviews and related correspondence.	FE+3	0	FE+3			1224	414928	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1	414935	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.				N
1.1.043	414936	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1						N
1.1.070	414937	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+5	0	AC+5	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071. Retention is based on 25 TAC 289.227(n)(6)(C) and 25 TAC 289.227(m)(9)(C).				N
5.2.005	414938	Calibration Records (Equipment or Instrument)	10	0	10						N
5.2.008	414939	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.	LA+3	0	LA+3						N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
5.3.005	414940	Packing Slips This series documents the receipt of equipment, supplies, other items, and services from vendors. The series includes: packing slips, shipping and container lists, and bills of lading.	AV	0	AV						N
5.4	414941	Department Imaging Equipment File A department level file per imaging equipment that includes but is not limited to: the certificate of registration; receipt, transfer, or disposal of a machine; training and experience records on all personnel using the machine; FDA variances, if any; current operating and safety procedures for the machine; personnel monitoring records on individuals using the machine; public dose evaluations/surveys; lead shielding integrity check reports; R-F shielding reports from vendor at installation; advanced level training records; and all other related documentation and correspondence as specified by the various regulations and accrediting bodies.	AC	0	AC	AC = Termination of Registration. 25 TAC 289.203(b)(1)(B), 25 TAC 289.226(m)(1)(D), 25 TAC 289.226(m)(4), 25 TAC 289.227(h), 25 TAC 289.227(i)(2), 25 TAC 289.231(m), 25 TAC 231(p).					N
5.4.003	414942	Inspection Records Fire, safety, and other inspection records of agency facilities and equipment.	AC+3	0	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.					N

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2. Agency Code		5. Agency Item Number		6. Record Series Title			7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend. Type
723							Agency Storage Total			9. Remarks		106 No.	Pg No. AIN		
4. Records Series Item No.	5. Agency Item Number				AC+4	0	AC+4								N
7.1	414943	Medical Research / Participant This series includes records collected for research purposes when UTMB is a clinical investigation site for an outside entity conducting the research. Records may include but are not limited to: the research services agreement with the outside entity and any research data collected and submitted to that outside entity for its study as well as any related documentation and correspondence.								AC = After completion of study.					
8.1	414944	Pharmacy Prescription Dispensation Records This series is used to provide an individual, daily summary, and annual summary record of initial drug dispensation and refills administered by the department as required by the Texas State Pharmacy Board. This series may include but is not limited to: prescription slips, in-house computer-generated Rx registers, controlled substance reports, and database purge reports.			3	0	3								N
8.1	414945	Quality Assurance Records / Health Services This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections, reports by the staff, quality assurance committee notes, staff reviews and related correspondence.			10	0	10			Retention is based on 25 TAC 289.227(n)(5).					N
8.1	414946	Entrance Exposure Rate (Air Kerma Rate) / Fluoroscopy Periodic measurements of entrance exposure rate (air-kerma rate) for fluoroscopic systems performed by a licensed Medical Physicist. Results of measurements shall be posted where any Fluoroscopist may have ready access while using Fluoroscopic System.			10	0	10			25 TAC 289.227(m)(3)(D)					N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1	415001	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.		1226	415001	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.007	417103	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	0	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 University 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.		1268	417103	D
9.1.009	417111	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				N
9.1.010	417112	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor of tenure track faculty. May include correspondence, reports, etc.	AC+7	0	AC+7	AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).				N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4173 SOM / Institute For Human Infections And Immunity									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	417301	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O		1271	417301	C	
						ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
5.1.001	417711	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.			1283	417711	C
3.4.007	417721	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3						N

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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	418601	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.		1300	418601	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	418701	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.		1305	418701	C
5.1.001	418715	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		1308	418715	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
5.1.001	418822	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+7	0	AC+7	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2). Government Code, 441.1855.		1317	418822	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1	419001	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O		1327	419001	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	419501	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.		1350	419501	C	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4196 Center For Addiction Research									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1	419601	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O		1354	419601	C	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months US - Until Superseded	



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Records Retention Schedule Amendment

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4198 HPLA / Office of County Affairs

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
5.1	419826	Performance Agreements This series provides a record of Personal/Professional Services Contracts between the institution and independent contractors for professional, specialized, educational, or creative services. The contracts are for a one-time performance of services or for services provided on a continuing basis. This series may include but is not limited to: the performance agreement or contract, negotiation documentation, amendments, scope of work, terms and conditions, billing and payment documentation, and related documentation and correspondence.	AC+7	0	AC+7	AC = After completion of agreement. Government Code, 441.1855.		1365	419826	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled CE - Calendar Year End LA - Life Of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End MO - Months US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4202 Interprofessional Education									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1	420202	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O		1381	420202	C	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed



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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4206 AS / Academy Of Master Teachers
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	420602	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. CAUTION: If there is a facilities reservation agreement, SEE item number 5.1.001.		1397	420602	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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November 23, 2015

Mr. Robert Norwood
Director, Records Management Compliance
UTMB at Galveston
301 University Blvd
Galveston, TX 77555-0918

State and Local
Records Management

Re: Agency records retention schedule amendment approved for use

P.O. Box 12927
Austin, Texas
78711.2927

Dear Mr. Norwood:

Amendment 1 to your agency's 7th recertification of your records retention schedule is approved for use as of Wednesday, November 18, 2015. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

4400 Shoal Creek Blvd.
Austin, Texas
78756

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 regulations (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.

www.tsl.texas.gov

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.

Commission Chairman
Michael C. Waters

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 Wilson, at 512-463-6627 or ewilson@tsl.texas.gov.

Members
Sharon T. Carr
Martha Doty Freeman
F. Linwood Givens
Larry G. Holt
Wm. Scott McAfee
Sandra J. Pickett

Sincerely,

Director and Librarian
Mark Smith

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

Craig Kelso
Director and State Records Administrator

Assistant State Librarian
Edward Seidenberg

cc: State Auditor, State Archivist, David L Callendar, MD

*Preserving yesterday,
informing today,
inspiring tomorrow.*

R01.723/723

723 EW



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 **723**

Agency Name **The University Of Texas Medical Branch At Galveston**

(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

Robert W. Norwood

Name (Print or Type)

Robert W. Norwood

Date

August 24, 2015

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office

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

Signature _____

Name (Print or Type) _____

Date _____

Not Required at This Time

Texas State Library and Archives Commission

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

Signature

Donna Osborne

Name (Print or Type)

Donna Osborne

Date

11-18-15

Recertification No. 7

Amendment No. 1

CAUTION

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

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





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Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1001 Office Of The President									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.013	100110	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				N
1.1.055	100111	Strategic Plans Information resources and operational strategic plans prepared in accordance with 2054.095 and 2056.002, Government Code.	AC+6	0	AC+6	I	AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.				N
1.1	100112	Films, Videotapes, and Sound Recordings This series provides visual and/or aural documentation of institutional activities and events including students, faculty, and staff with significant relevance to either the institution's or individual unit's function and mission.	AV	0	AV	O					N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form

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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1007 Office Of The President / Office Of Strategic Management
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total				Pg No.	AIN	
1.1	100701	Films, Videotapes, and Sound Recordings This series provides visual and/or aural documentation of institutional activities and events including students, faculty, and staff with significant relevance to either the institution's or individual unit's function and mission.	AV	0	AV	O		15	100701	D	
1.1	100702	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.	15	100702	D	
1.1.007	100703	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	0	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 University 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.	15	100703	D	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1007 Office Of The President / Office Of Strategic Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.008	100704	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	0	2			15	100704	D
1.1.013	100705	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.	16	100705	D
1.1.055	100706	Strategic Plans Information resources and operational strategic plans prepared in accordance with 2054.095 and 2056.002, Government Code.	AC+6	0	AC+6	I	AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	16	100706	D

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value						Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal			Amendment Codes (Field 12) N - New D - Deleted C - Changed		
CE - Calendar Year End		LA - Life Of Asset		PM - Permanent							
FE - Fiscal Year End		MO - Months		US - Until Superseded							



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1007 Office Of The President / Office Of Strategic Management									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.057	100707	<p>Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series.</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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>		17	100707	D	
1.1.067	100708	<p>Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.</p>	3	0	3	O	<p>ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>		17	100708	D
1.1.070	100709	<p>Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.</p>	AC+3	0	AC+3	O	<p>AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>		17	100709	D

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
 AV - Administrative Value
 CE - Calendar Year End
 FE - Fiscal Year End
 LA - Life Of Asset
 MO - Months
 PM - Permanent
 US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
 O - Review Required Before Disposal

Amendment Codes (Field 12)

N - New
 D - Deleted
 C - Changed



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1007 Office Of The President / Office Of Strategic Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.071	100710	Agency Rules, Policies, and Procedures-Working Files Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO item number 1.1.070.		18	100710	D

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1009 Teen Mental Health									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.007	100901	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	0	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 University 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.		25	100901	D	
1.1.008	100902	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.		25	100902	D	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months US - Until Superseded	
PM - Permanent		



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1009 Teen Mental Health								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.013	100903	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.		26	100903	D
1.1.040	100904	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.		26	100904	D

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1009 Teen Mental Health									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.057	100905	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>		27	100905	D	
1.1.065	100906	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>		27	100906	D	
1.1.067	100907	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	O	<p>ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>		27	100907	D

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
 AV - Administrative Value
 CE - Calendar Year End
 FE - Fiscal Year End
 LA - Life Of Asset
 MO - Months
 PM - Permanent
 US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
 O - Review Required Before Disposal

Amendment Codes (Field 12)

N - New
 D - Deleted
 C - Changed



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1009 Teen Mental Health									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
3.4.006	100908	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).		28	100908	D	
3.4.007	100909	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3			28	100909	D	
4.7	100910	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.		28	100910	D	
4.7	100911	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.		28	100911	D	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	
PM - Permanent US - Until Superseded		



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON									
		RMAN: 2004 Audit Services Consulting And Investigation									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks			Pg No.	AIN	
5.1.014	200412	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	0	US+1						N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months US - Until Superseded	



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2005 Finance / Government Reimbursement									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
5.1.015	200514	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	0	1						N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	
PM - Permanent US - Until Superseded		



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2013 Finance / Controller / Asset Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
4.5	201315	Building Depreciation Ledgers This records series consists of depreciation logs for buildings owned by the institution. This records series may include but is not limited to: depreciation calculations for all buildings, supporting documentation showing the accumulated depreciation has been calculated appropriately, depreciation of buildings for Medicare cost reporting, and all ledgers associated with building depreciation.	AC+7	0	AC+7	AC = Until building is demolished.				N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 2014 Finance / Controller / General Accounting

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
4.7	201429	Account Records This records series documents the creation of accounts. Records may include but are not limited to signature authorizations, active dates of account, modification of account numbers, authorized users/ approvers, and related documents and correspondence.	AC+7	0	AC+7	AC = After account closed.		102	201429	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled CE - Calendar Year End LA - Life Of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End MO - Months US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2016 BOF / Supply Chain / Accounts Payable									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
4.1.001	201612	Accounts Payable Information This series documents an agency's expenditures and purchases. Records may include but are not limited to: departmental purchase orders, contract release orders, balance sheets, bills, invoices, invoice vouchers, journal voucher/entry forms, and related documentation and correspondence.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				N	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2017 Marketing And Communications								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1	201702	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O		108	201702	C
1.1	201703	Trademarks This records series pertains to the form of intellectual property protection that may be obtained for a word, phrase, symbol, or design (or combination thereof) that identifies and distinguishes the source of a service. Records may include but are not limited to a copy of the trademark registration, the trademark application, and correspondence among University officials responsible for obtaining trademark protection, the inventors of the trademark, and attorneys responsible for obtaining trademark protection.	PM	0	PM			108	201703	D
4.5.002	201717	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3		Monthly reconciliation and approval of expenses required by internal audit.	113	201717	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value						Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal			Amendment Codes (Field 12) N - New D - Deleted C - Changed		
CE - Calendar Year End		LA - Life Of Asset		PM - Permanent							
FE - Fiscal Year End		MO - Months		US - Until Superseded							



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2026 BOF / Supply Chain / Mail Services									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
4.1.002	202606	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.		164	202606	C	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2032 BOF / EHS / Biological Safety Program									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
5.4	203217	Chemical and Hazardous Waste Disposal Records This series documents the receipt, shipment, and disposal of chemical material or hazardous wastes on campus. This series includes but is not limited to: chemical and waste inspection forms; drum packing sheets; Uniform Hazardous Waste Manifest forms (EPA 8700); Certificates of Disposal from vendors; land disposal notification forms; waste disposal records; and related documentation and correspondence.	AV	PM	PM			169	203217	D	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2033 BOF / EHS / Radiation Safety									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1.007	203302	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	0	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 University 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.		172	203302	C	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2034 BOF / EHS / Occupational Safety And Fire Prevention								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
4.5.002	203413	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed



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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2035 BOF / EHS / Environmental Protection Management
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1	203516	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.				N
1.1	203517	Professional Committee Working Files Internal and external professional committees and work groups. Includes notes, work papers, reference materials, research, committee appointments, charters, and any other supporting documentation.	AC	0	AC	AC = Termination of service on committee, disbanding of committee, or records of committee no longer administratively valuable to the university. CAUTION: If the committee is funded by a grant, records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2037 HR / Employee Injury And Illness Management									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
5.4.001	203710	Accident Reports and Associated Documentation / Non Exposures Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Workers' Compensation Commission or its predecessors or maintained internally on accident frequency.	CE+5	0	CE+5	29 CFR 1904.33. The Texas Department of Insurance retains copies of the reports submitted to it for 50 years..		193	203710	C	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2039 HR / Health Promotion And Wellness								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
4.2.006	203909	General Journal Vouchers A record of budget entries and transfers of funds between an agency's budgets.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.		206	203909	D
	203912	Health Assessment This series documents the provision of health-related services, for example: cholesterol screening, blood pressure testing, etc. This series may include but is not limited to: tests, goals and objectives, diagnostic reports, questionnaires, permission to forward the information to the patient's health care provider, and related data.	AC+5	0	AC+5	AC = Patient last seen. Retention is based on department policy.		207	203912	C

Retention Codes (Field 7)

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Archival Codes (Field 8)

I - Retain in Archives
 O - Review Required Before Disposal

Amendment Codes (Field 12)

N - New
 D - Deleted
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2040 Research Services And Office Of Sponsored Programs / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
5.3	204022	Procurement Card Records A record of purchases made with a University of Texas Medical Branch Procurement Card. This records series may include but is not limited to: Procurement Card Transaction Log, original charge slip, sales receipt, packing slip, invoice, or any other information related to the purchase.	FE+3	0	FE+3					N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2049 BOF / Supply Chain / Administration									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks			Pg No.	AIN	
3.1	204906	Employee Authorization Form This records series documents the administrative approval process for new positions within a department. This series may contain but is not limited to information about the hiring manager; position, funding, budget information, justification for the position and approval signatures.	FE+2	0	FE+2				226	204906	D

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 2073 HPLA / Administration

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
3.4.006	207309	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).		270	207309	C
1.1	207314	Professional Committee Working Files Internal and external professional committees and work groups. Includes notes, work papers, reference materials, research, committee appointments, charters, and any other supporting documentation.	AC	0	AC	AC = Termination of service on committee, disbanding of committee, or records of committee no longer administratively valuable to the university. CAUTION: If the committee is funded by a grant, records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End LA - Life Of Asset PM - Permanent FE - Fiscal Year End MO - Months US - Until Superseded I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed



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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
4.5.002	208209	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	2	FE+5	Monthly reconciliation and approval of expenses required by internal audit.		293	208209	C

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2086 HR / Compensation								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.013	208604	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.		303	208604	D
1.1.043	208606	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1			303	208606	D

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1	208801	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.				N
1.1	208802	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.				N
1.1	208803	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.				N
1.1	208804	Photographs And Negatives - Historically Significant Documents the collection of photographs or negatives created by or for an agency. Includes events that document the agency's organization, special ceremonies, occasions, events and facilities. May include commercially available material.	AV	0	AV	I					N

Retention Codes (Field 7)						Archival Codes (Field 8)			Amendment Codes (Field 12)			
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	208805	Professional Committee Working Files Internal and external professional committees and work groups. Includes notes, work papers, reference materials, research, committee appointments, charters, and any other supporting documentation.	AC	0	AC					N
1.1	208806	Projects This series documents the activities of an office which are performed in addition to its regular duties. This series may include completed surveys and questionnaires, working papers for the project, questionnaire and survey forms; and other related correspondence.	AC+3	0	AC+3	O	AC = After completion.			N
1.1.002	208807	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	0	AC+7		AC = Publication or release of final audit findings. The record copy of any audit performed by the State Auditor's Office is retained permanently by UTMB's Internal Audit Services Consulting And Investigation.			N

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			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1.007	208808	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	0	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 University 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.				N	
1.1.008	208809	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				N	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.013	208810	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				N
1.1.024	208811	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.				N
1.1.040	208812	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				N

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 2088 BOF / Facilities Risk Management

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			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.057	208813	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				N
1.1.063	208814	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					N
1.1.065	208815	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.				N

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			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.067	208816	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O				N
1.1.069	208817	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	0	1					N
1.1.070	208818	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O				N
1.2.003	208819	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	0	AC+1					N
3.3.030	208820	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	0	US+2					N

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			Agency	Storage	Total			Pg No.	AIN	
4.5.002	208821	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				N
4.7	208822	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				N
4.7	208823	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				N
5.1.013	208824	Insurance Policies For vehicles, equipment, etc.	AC+4	0	AC+4	AC = Expiration or termination of the policy according to its terms.				N

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			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
5.2	208825	Disaster Validation / Mitigation Reimbursement Records This series documents the events and damages to institutional property due to a storm or disaster related event affecting facilities and equipment within the jurisdiction of the institution. This series may include but is not limited to: a scope of work and cost to repair back to pre-storm condition, an executive summary, storm history, system or building description, damage validation methodology, damage validation conclusion, numerous exhibits including photographs, specifications, location or plan drawings and Rebuild in Kind project worksheets detailing associated costs, related documentation and correspondence.	AC+11	0	AC+11	AC = Completion of project.				N
5.2.007	208826	Damage Reports Reports of damage to state property.	FE+3	0	FE+3					N
5.4.002	208827	Evacuation Plans Plans for evacuation of agency facilities in cases of emergency.	US	0	US					N
5.4.013	208828	Disaster Preparedness and Recovery Plans Emergency preparedness procedures in the event of severe weather or any potential damage to institutional property due to storms, riots, fires, droughts, floods, or other events which could affect normal operations and facilities within the jurisdiction of the institution. The preparedness portion may include but is not limited to: department specific procedures, a list of essential employees, housing, emergency numbers, etc. The recovery portion may include but is not limited to: diaries, logs, reports, photographs, notes which indicate or document what happened, when, and where, and related documentation and correspondence.	US	0	US					N

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			Agency	Storage	Total	9. Remarks	106 No.	Pg No.	AIN	
	208829	Mock Training Exercises This series may include but is not limited to: the results of preparedness exercises and the supporting documents including scenarios, location of safety related drills, time tables, response times, probable outcomes, areas of difficulties, descriptions of how difficulties were resolved, and areas for improvement.	FE+3	0	FE+3					N

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723		6. Record Series Title			7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend. Type
4. Records Series Item No.	5. Agency Item Number				Agency	Storage	Total	9. Remarks		106 No.	Pg No.	AIN	
5.6.001	300724	Airplane Flight Logs			State owned: LA+3 Leased: FE+3	0	State owned: LA+3 Leased: FE+3						N

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.048	300909	Litigation Files Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC+10	0	AC+10	O		342	300909	C	
4.5.002	300923	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3		Monthly reconciliation and approval of expenses required by internal audit.	345	300923	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
3.4.007	301008	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE	3	FE+3			351	301008	C
	301011	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	1	2	3			351	301011	C

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			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.070	301908	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3	AC+3	O		364	301908	C	
4.1.002	301929	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9					N	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months US - Until Superseded	
PM - Permanent		



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3028 Nursing Services / Critical Care / Extracorporeal Membrane Oxygenation									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.067	302807	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O		370	302807	C	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3036 Health Information Management									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
4.1.002	303618	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.		390	303618	C	
	303625	Donor Records - Medical This records series consists of completed bequeathal forms and cadaver information for people who have donated their bodies to the University of Texas Medical Branch.	AV	PM	PM			391	303625	D	
1.2.003	303629	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	0	AC+1		AC = Discontinuance of use of form.				N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3038 Care Management
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
	303813	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					N
	303814	Air Ambulance Transport Records This records series consists of air ambulance records dispatched by Emergency Room communications. Records may include but are not limited to: dispatch sheet, air transport record, and follow-up notes.	FE+20	0	FE+20					N

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3046 Cardiac Catheterization Laboratory								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
3.4.006	304609	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).		411	304609	C
3.4.007	304610	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3			411	304610	C
	304617	Quality Assurance Records / Health Services This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections, reports by the staff, quality assurance committee notes, staff reviews and related correspondence.	FE+3	0	FE+3			413	304617	C

Retention Codes (Field 7)						Archival Codes (Field 8)			Amendment Codes (Field 12)	
AC - After Closed, Terminated, Completion, Expiration, Settled	CE - Calendar Year End	LA - Life Of Asset	PM - Permanent	I - Retain in Archives	N - New	D - Deleted				
AV - Administrative Value	FE - Fiscal Year End	MO - Months	US - Until Superseded	O - Review Required Before Disposal	C - Changed					



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3050 Pathology / Laboratory Services / Specimen Management									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
3.4.007	305011	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3				429	305011	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3052 Pathology / Laboratory Medicine / Hematopathology									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
5.2.018	305210	Quality Control Reports	2	0	2			438	305210	C	
	305213	Final Laboratory Test Reports This records series consists of the legally reproduced copies of each test result and preliminary reports on pathology testing. Documentation includes all the information recorded on the test requisition plus the specimen's accession number, the date and time the lab received the specimen, the condition and disposition of samples which do not meet the lab's acceptance standards, the records and dates of performance of each step in the patient testing leading to and including the final report.	2	8	10	42 CFR 493.1101.		438	305213	C	
5.2.008	305216	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.	LA+3	0	LA+3					N	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3054 SHP / Clinical Laboratory Sciences / Specialty in Blood Banking Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
5.1.001	305410	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+6	0	AC+6	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2).				N
	305411	Admissions Records / Denied This series documents the applications process for individuals that have been denied admission to the University or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC+1	0	AC+1	AC = After application term.				N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3056 Pathology / Anatomic Pathology / Histopathology Laboratory									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
	305609	Laboratory Test Requests This records series consists of all requisitions authorizing a laboratory to perform tests on a sample. This series may include but is not limited to: the patient's name or identification number, the name or identifier of who ordered the test, the date and time of the specimen collection, the source of the specimen, the patient's gender and age or date of birth, physician's signature, and pertinent clinical information. Test results received from external reference labs may be included.	1	9	10	Retention is based on department policy.		455	305609	C	
	305610	Quality Assurance Records / Health Services This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections, reports by the staff, quality assurance committee notes, staff reviews and related correspondence.	FE+2	1	FE+3			455	305610	C	
	305611	Laboratory Case Log The records series consists of a log of specimens received daily from patients which records the accession number, name of patient, requesting doctor, collection date, patient type, birth date, patient number.	2	0	2					N	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3059 Pathology / Laboratory Medicine / Tissue Antigen Laboratory									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
4.1.002	305912	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.		459	305912	C	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3060 Pathology / Anatomic Pathology / Autopsy Service								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.067	306004	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.		462	306004	C
5.2.010	306006	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.		463	306006	D
5.2.011	306007	Equipment Warranties	AC+1	0	AC+1	AC = After expiration.		463	306007	D

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End
LA - Life Of Asset
MO - Months
PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal

Amendment Codes (Field 12)

N - New
D - Deleted
C - Changed



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3060 Pathology / Anatomic Pathology / Autopsy Service								
723										
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
5.4.013	306011	Disaster Preparedness and Recovery Plans Emergency preparedness procedures in the event of severe weather or any potential damage to institutional property due to storms, riots, fires, droughts, floods, or other events which could affect normal operations and facilities within the jurisdiction of the institution. The preparedness portion may include but is not limited to: department specific procedures, a list of essential employees, housing, emergency numbers, etc. The recovery portion may include but is not limited to: diaries, logs, reports, photographs, notes which indicate or document what happened, when, and where, and related documentation and correspondence.	US	0	US			464	306011	D
	306015	Non-Forensic Autopsy Reports Records relating to non-forensic autopsies, including reports and slides.	PM	0	PM	Recommended by: Colleges of American Pathologists (CAP) and Clinical Laboratory Improvement Amendments (CLIA). Retention is based on department policy.				N
1.1	306016	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.				N
5.2.018	306017	Quality Control Reports	2	0	2					N

Retention Codes (Field 7)						Archival Codes (Field 8)			Amendment Codes (Field 12)	
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3060 Pathology / Anatomic Pathology / Autopsy Service								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
	306018	Quality Assurance Records / Health Services This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections, reports by the staff, quality assurance committee notes, staff reviews and related correspondence.	FE+3	0	FE+3					N
	306019	Laboratory Test Requests This records series consists of all requisitions authorizing a laboratory to perform tests on a sample. This series may include but is not limited to: the patient's name or identification number, the name or identifier of who ordered the test, the date and time of the specimen collection, the source of the specimen, the patient's gender and age or date of birth, physician's signature, and pertinent clinical information. Test results received from external reference labs may be included.	7	0	7					N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON									
		RMAN: 3061 Pathology / Laboratory Medicine / Clinical Microbiology									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
3.4.007	306114	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3			469	306114	C	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3065 Neurodiagnostics									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
	306510	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE+5	0	FE+5			488	306510	C	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3071 HR / Employee Health Center									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
	307109	Immunization Record And Consent Forms Signed consent forms and records noting the type of immunization performed which are not included in the patient's medical record.	AC	AC	AC	AC = 21st birthday or 10 years following end of calendar year in which the consent form was signed, whichever is later.				N	
5.2.018	307110	Quality Control Reports	2	0	2					N	
4.2.006	307111	General Journal Vouchers A record of budget entries and transfers of funds between an agency's budgets.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are comingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				N	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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PM - Permanent US - Until Superseded		



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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 3074 Pharmaceutical Services

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
	307418	Drug Assistance Applications This records series contains applications submitted on behalf of a patient to a drug company's assistance program. This series may include but is not limited to: program application forms, validation letters and forms for reapplying, and any paperwork that may be included with the medications when they are sent to the department and subsequently dispensed to the patient.	US+1	0	US+1			505	307418	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	307601	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+5	0	US+5	O		508	307601	C	
1.1.008	307605	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.	509	307605	C	
3.4.006	307620	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4		40 TAC 815.106(i).	513	307620	C	
3.4.007	307621	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3			513	307621	C	
	307636	Training & License Records / Medical This records series consists of the credentials, licenses, certifications, registrations, and permits for medical staff providing patient care, consulting services, and home health including formal training, on the job education, and continuing educational credits.	AC+7	0	AC+7		AC = After separation or termination of employment.	517	307636	D	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
	307933	Training & License Records / Medical This records series consists of the credentials, licenses, certifications, registrations, and permits for medical staff providing patient care, consulting services, and home health including formal training, on the job education, and continuing educational credits.	AC+7	0	AC+7	AC = After separation or termination of employment.		526	307933	D

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3086 Patient Placement Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	106 No.	Pg No.	AIN	
	308613	Medical Logs / Transfer Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	AC+5	0	AC+5	AC = Date of transfer. Retention is based on U.S. Code 42 U.S.C. § 1395dd.		532	308613	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3107 Otolaryngology / Administration									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1	310701	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+5	0	US+5	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation. Retention is based on department policy.		569	310701	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	310801	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+5	0	US+5	O		577	310801	C
1.1.007	310804	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.	1	3	4	O		578	310804	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1	310824	Special Lectures This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on catering arrangements; news releases; recordings and transcripts; photographs; and related documentation and correspondence.	CE+5	0	CE+5	O				N
	310825	Placement Records This series documents the written reference history of a student to be forwarded to potential employers or professional schools. Records may include but are not limited to: credentials records showing where, when, and cost of letters sent; release of information form which includes a listing of the reference letters to be sent; reference letters; student teaching reports; professional program certificates; personal data sheets and resumes; College Interview Forms; and related documentation and correspondence.	AC+2	0	AC+2		AC = After placement.			N
	310826	Program And Course Development Records This records series documents the development, approval, and the implementation of undergraduate, graduate, and professional degree programs and any other reorganizations or changes to established programs. Records may include but are not limited to: working papers, final reports, related course descriptions, outlines, sample examinations, textbook lists, etc.	6	0	6	O				N

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3108 SOM / PMCH / Clinical Preventive Medicine									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
	310827	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				N	
	310828	Class Lists This series provides instructional units with an official record of students enrolled in courses taught. This series is used to cross-check students who have enrolled against those who have registered, and is also used to generate statistical reports. Records may include but are not limited to: student names, social security numbers, term, and enrollment/registration status.	PM	0	PM					N	
	310829	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	AC+7	0	AC+7		AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).				N
4.4	310830	Accounts Receivable Records This series is used to provide a record of billings and collections for the programs or services provided. It is also used to provide a record of customers owing monies and to reconcile the account. Records may include but are not limited to: account edit sheets, payment methods, invoices, journal vouchers, billing detail, receipts or receipt books, reconciliations, and related documentation and correspondence.	FE+3	0	FE+3						N

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2. Agency Code		5. Agency Item Number		6. Record Series Title			7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend. Type
723							Agency Storage Total			9. Remarks		106 No.	Pg No. AIN		
		310831		Student Coursework This series documents student subject mastery in institution courses. Records may include but are not limited to: examinations and answers; quizzes and answers; homework assignments; course papers; term papers; and essay assignments.			AC+1 0 AC+1			AC = End of academic term. CAUTION: Coursework under dispute may not be destroyed until the resolution of the dispute.					N
		310832		Course Registration and Status Records Registration forms, class rosters, and similar records providing information on which courses student are registered for at the beginning of an academic term, including documentation evidencing the conditions under which courses are undertaken (e.g., audit, pass/fail, and credit/no credit authorizations or approvals) or evidencing changes to registration status during the term (e.g., add/drop forms by student or instructor).			AV 0 AV								N
		310833		Student Certification Records – Academic This series documents student completion of certificate programs offered by university academic programs.			AC+5 0 AC+5			AC = Graduation or date of last attendance CAUTION: Transcript notes regarding academic certifications awarded are maintained permanently by the Registrar.					N

Retention Codes (Field 7)										Archival Codes (Field 8)			Amendment Codes (Field 12)	
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AV - Administrative Value			FE - Fiscal Year End		MO - Months		US - Until Superseded			O - Review Required Before Disposal		C - Changed		



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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
3.4.006	310906	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE	4	FE+4	40 TAC 815.106(i).		585	310906	C
3.4.007	310907	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE	3	FE+3			585	310907	C
	310910	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	1	2	3			585	310910	D
	310911	Patient Billing Provides itemized billing record for medical services rendered. Records may include but are not limited to: patient demographic information; electronic billing reports; copies of all monthly aged trail balance reports; physical logs detailing patient or insurance payments; copies of checks, ledgers, or any other information that details specific payments; insurance vouchers from Medicare, Medicaid, or any other entity with which the hospital has specific contracts; any contact from patients disputing any portion of their hospital bills for which the billing department has kept the original document, related correspondence.	1	9	10	42 CFR 422.504(d).		586	310911	D
	310913	Training & License Records / Medical This records series consists of the credentials, licenses, certifications, registrations, and permits for medical staff providing patient care, consulting services, and home health including formal training, on the job education, and continuing educational credits.	AC+7	0	AC+7	AC = After separation or termination of employment.		586	310913	D

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value						Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal			Amendment Codes (Field 12) N - New D - Deleted C - Changed		
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FE - Fiscal Year End			MO - Months			US - Until Superseded					



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3111 SOM / Sealy Center On Aging								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	106 No.	Pg No.	AIN	
	311117	UTMB Sponsored Medical Research / Human (Regulated By FDA) This records series includes UTMB sponsored human related medical research, experiments and data collected. Includes the signed informed consent form and any data safety monitoring reports.	AC+5	10	AC+15	AC = After last contact with subject.		591	311117	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
4.1.002	311209	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.		594	311209	C	
	311214	Donor Records - Medical This records series consists of completed bequeathal forms and cadaver information for people who have donated their bodies to the University of Texas Medical Branch.	AV	PM	PM			595	311214	C	

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2. Agency Code		5. Agency Item Number		6. Record Series Title			7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend. Type
723							Agency Storage Total			9. Remarks		106 No.	Pg No. AIN		
4. Records Series Item No.	5. Agency Item Number	6.	7.	8.	9.	10.	11.	12.							
1.1.008	311401	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	0	2				SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.		597	311401	D		
1.1.057	311402	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC				AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).		597	311402	D		
1.1.070	311403	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O			AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.		597	311403	D		

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
4.1.002	311404	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.		598	311404	D	
5.6.001	311405	Airplane Flight Logs	State owned: LA+3 Leased: FE+3	0	State owned: LA+3 Leased: FE+3			598	311405	D	
	311406	Air Ambulance Transport Records This records series consists of air ambulance records dispatched by Emergency Room communications. Records may include but are not limited to: dispatch sheet, air transport record, and follow-up notes.	FE+20	0	FE+20			598	311406	D	
	311407	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3			598	311407	D	

Retention Codes (Field 7)						Archival Codes (Field 8)			Amendment Codes (Field 12)	
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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3135 BOF / Supply Chain / Hospital Operations Materials Management
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
5.3	313515	Procurement Card Records A record of purchases made with a University of Texas Medical Branch Procurement Card. This records series may include but is not limited to: Procurement Card Transaction Log, original charge slip, sales receipt, packing slip, invoice, or any other information related to the purchase.	FE+3	0	FE+3					N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	313939	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.				N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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			Agency	Storage	Total			9. Remarks	Pg No.	
1.1.007	315103	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	0	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 University 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.		650	315104	C
1.1.008	315104	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.		650	315105	C

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3151 CMC / Pharmacy									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1.013	315105	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.		651	315106	C
1.1.040	315106	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.		651	315107	C
1.1.043	315107	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1				651	315108	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.057	315108	<p>Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series.</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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>		652	315109	C	
1.1.063	315109	<p>Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1			652	315110	C	
1.1.070	315110	<p>Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.</p>	AC+3	0	AC+3	O	<p>AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>		653	315112	C
3.3.020	315112	<p>Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.</p>	1	0	1			653	315113	C	

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			Agency	Storage	Total			Pg No.	AIN		
3.4.006	315113	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).		653	315116	C	
3.4.007	315114	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3			653	315117	C	
4.2.005	315115	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				N	
5.1.004	315116	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.		654	315120	C	
5.2.018	315117	Quality Control Reports	2	0	2			654	315121	C	
	315118	Adverse Drug Event Records Records related to adverse drug events or medical occurrences in patients and others served by UTMB, excluding events taking place in the course of a research study.	5	0	5			654	315122	C	

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	315119	Pre-packing Cards And Compounding Records For Medications Documentation for pre-packing and compounding medications. May include but is not limited to: Pre-packing cards, compounding worksheets (sterile and non-sterile).	2	0	2			656	315128	C
	315120	Drug Recall Notices Food and Drug Administration (FDA) and manufacturer recalls on drugs. This records series may include but is not limited to: reportable occurrences of drug use, recalls through the manufacturer, and responses by departments.	5	0	5			654	315123	C
	315121	Licensure Records / Texas State Board of Pharmacy License This series documents the professional and regulatory issuance of credentials to facilities providing pharmaceutical services at the University. This series may include but is not limited to: license applications, Pharmacy Board Retail Drug Outlet/Controlled Substance Registration (license) and inspection reports, Drug Enforcement Administration (license), Department of Public Safety (license), and related correspondence.	US+2	0	US+2	22 TAC § 291.75.		655	315124	C
	315122	Medication Profiles Profiles for chemotherapy patients. These profiles tell what drugs are given, the amount of each drug given, the date and time given and who administered the drugs.	5	0	5			655	315125	C
	315123	Pharmacy Controlled Substance Records Consists of records that document the use and disposition of controlled substances. Including but not limited to: audits, inventories, and transfers between pharmacies, prescriptions, and dispositions of controlled substances, night medication sheets, and proof of use sheets.	3	0	3			655	315126	C

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	315124	Pharmacy Prescription Dispensation Records This series is used to provide an individual, daily summary, and annual summary record of initial drug dispensation and refills administered by the department as required by the Texas State Pharmacy Board. This series may include but is not limited to: prescription slips, in-house computer-generated Rx registers, controlled substance reports, and database purge reports.	3	0	3			655	315127	C	
4.5.002	315125	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.		654	315118	C	
5.1	315126	Shipping Records This series provides a record of items that are mailed by the department via UPS, Federal Express, or another carrier. Records may be used for billing and/or tracking. These records include: printing and mailing shipping forms; parcel mailing order forms; and related correspondence.	1	0	1			654	315119	C	
1.1.006	315127	Complaint Records Complaints received by the agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+2	0	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 (litigation files).		649	315103	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
3.3.027	315128	Aptitude and Skills Tests Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US+2	0	US+2		29 CFR 1602.49 (State Universities). CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.		653	315114	C
3.3.028	315129	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	0	2		29 CFR 1602.49 (State Universities).		653	315115	C
1.1.067	315130	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.		652	315111	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
5.2.010	315613	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.		680	315613	D	
	315614	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	1	2	3			680	315614	C	
	315615	Quality Assurance Records / Health Services This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections, reports by the staff, quality assurance committee notes, staff reviews and related correspondence.	FE+1	2	FE+3			680	315615	C	
1.1	315616	Administrative Reference Files These records are created to assist in the completion of projects and/or reference, and are usually only needed for a short period of time.	1	0	1						N

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3157 Nursing Services / WIC / Pediatric Med/Surg And PICU (J10AB)									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1.013	315704	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.		682	315704	D	
4.5.002	315710	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.		683	315710	D	
5.2.005	315712	Calibration Records (Equipment or Instrument)	2	8	10			683	315712	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
1.1.057	316710	<p>Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series.</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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				N	

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Archival Codes (Field 8)

I - Retain in Archives
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Amendment Codes (Field 12)

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		106 No.	Pg No.	AIN	
	316930	Case Management Health Records / Patients Healthcare case management records compiled for patients. Records may include but are not limited to: patient demographic information, patient diagnosis, medications, counseling notes, risk reduction plans and related correspondence.	AC	7	AC+7	AC = Last date of service, or if minor, when patient turns 21. 22 TAC Rule§165.1.			739	316930	C

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723											
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			Agency	Storage	Total			9. Remarks	Pg No.		AIN
3.1	400208	Compensation Information Form / Non-Faculty Grant-Funded Documents the acknowledgement of non-faculty employees that employment status is based on funding provided by a grant.	AC+2	0	AC+2	AC = Date of separation or termination of grant, whichever is longer.		747	400208	C	

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			Agency	Storage	Total			Pg No.	AIN		
	400418	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).		754	400418	C	

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1.1	401502	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.		801	401502	C
1.1.024	401509	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.		803	401509	C
3.1	401520	Employee Authorization Form This records series documents the administrative approval process for new positions within a department. This series may contain but is not limited to information about the hiring manager; position, funding, budget information, justification for the position and approval signatures.	FE+2	0	FE+2				806	401520	D
3.1.014	401521	Employment Selection Records May include but not be limited to: 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	0	2		29 CFR 1602.49(a) [State Universities]. CAUTION: Does not include criminal history checks. SEE item number 3.1.026.		807	401521	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value						Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal				Amendment Codes (Field 12) N - New D - Deleted C - Changed	
CE - Calendar Year End		LA - Life Of Asset		PM - Permanent							
FE - Fiscal Year End		MO - Months		US - Until Superseded							



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4015 Office Of The Executive Vice President And Provost Dean / School Of Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
3.1.018	401522	Grievance Records Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC+2	0	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.		807	401522	C
4.5.002	401525	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.		807	401525	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	
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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4026 SOM / Institute For Medical Humanities

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
4.4	402626	Student Academic Records Records may include but are not be limited to: date of admission, period of attendance, academic work undertaken, academic work successfully completed, honors awarded, diploma, degree, or certificate earned, and appropriate evaluation of work completed for students such as medical, nurses, and other professional type students. Also includes course changes and add/drops.	AC+10	0	AC+10	AC = Graduation or date of last attendance.		844	402626	C
	402627	Accounts Receivable Records This series is used to provide a record of billings and collections for the programs or services provided. It is also used to provide a record of customers owing monies and to reconcile the account. Records may include but are not limited to: account edit sheets, payment methods, invoices, journal vouchers, billing detail, receipts or receipt books, reconciliations, and related documentation and correspondence.	FE+3	0	FE+3					N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End LA - Life Of Asset PM - Permanent FE - Fiscal Year End MO - Months US - Until Superseded I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed



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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4028 SON / Office Of The Dean / Nursing School

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
3.1	402818	Faculty and Non-teaching Recruitment Records This records series documents the recruitment of faculty and non-teaching positions by the University. Records may include but are not limited to: request to post, position description, recruiting plan (includes search committee list), advertising, interview detail, Approval To Interview Form (pre-interview summary), applicants recommended for interview, CV's for all applicants listed and related correspondence.	FE+2	0	FE+2					N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End LA - Life Of Asset PM - Permanent FE - Fiscal Year End MO - Months US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal
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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
3.4.006	403608	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).		870	403608	C	
3.4.007	403609	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3			870	403609	C	

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End LA - Life Of Asset PM - Permanent
FE - Fiscal Year End MO - Months US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal

Amendment Codes (Field 12)

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C - Changed



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4041 SOM / Dermatology									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	404101	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+5	0	US+5	O ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation. Retention is based on department policy.		879	404101	C	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4043 SOM / Family Medicine / Galveston								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
3.4.006	404315	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).		887	404315	C
	404323	Placement Records This series documents the written reference history of a student to be forwarded to potential employers or professional schools. Records may include but are not limited to: credentials records showing where, when, and cost of letters sent; release of information form which includes a listing of the reference letters to be sent; reference letters; student teaching reports; professional program certificates; personal data sheets and resumes; College Interview Forms; and related documentation and correspondence.	AC+2	0	AC+2	AC = After placement.		890	404323	C
	404326	Resident Physician Evaluation -- Raw Data Comprised of questionnaires used to provide an evaluative record of resident physicians. Evaluation forms are summarized and merged into Departmental Resident Files.	AC+5	0	AC+5	AC = After resident has graduated or until any dispute involving the resident has been resolved, whichever occurs later.				N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4045 SOM / Biochemistry And Molecular Biology									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
3.4.007	404513	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+1	2	FE+3			901	404513	C	

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4048 SOM / Internal Medicine / Gastroenterology And Hepatology									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		106 No.	Pg No.	AIN	
	404819	Resident Physician Evaluation -- Raw Data Comprised of questionnaires used to provide an evaluative record of resident physicians. Evaluation forms are summarized and merged into Departmental Resident Files.	AC+5	0	AC+5	AC = After resident has graduated or until any dispute involving the resident has been resolved, whichever occurs later.					N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4049 SOM / Internal Medicine / Nephrology									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	404901	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+5	0	US+5	O ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation. Retention is based on department policy.		913	404901	C	

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	405001	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+5	0	US+5	O		922	405001	C	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4056 SOM / Internal Medicine / Infectious Diseases									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
4.6.002	405623	Reconciliations	FE+3	0	FE+3						N
3.3.023	405624	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	0	FE+3						N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1	405718	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.				N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4058 SOM / Internal Medicine / Housestaff									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1	405801	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+5	0	US+5	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation. Retention is based on department policy.		947	405801	C
	405816	Student Academic Records Records may include but are not be limited to: date of admission, period of attendance, academic work undertaken, academic work successfully completed, honors awarded, diploma, degree, or certificate earned, and appropriate evaluation of work completed for students such as medical, nurses, and other professional type students. Also includes course changes and add/drops.	AC+10	0	AC+10		AC = Graduation or date of last attendance.		950	405816	C
1.1	405817	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.				N

Retention Codes (Field 7)						Archival Codes (Field 8)			Amendment Codes (Field 12)			
AC - After Closed, Terminated, Completion, Expiration, Settled	CE - Calendar Year End	LA - Life Of Asset	PM - Permanent	I - Retain in Archives	N - New	D - Deleted						
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks	106 No.	Pg No.	AIN		
	405818	Placement Records This series documents the written reference history of a student to be forwarded to potential employers or professional schools. Records may include but are not limited to: credentials records showing where, when, and cost of letters sent; release of information form which includes a listing of the reference letters to be sent; reference letters; student teaching reports; professional program certificates; personal data sheets and resumes; College Interview Forms; and related documentation and correspondence.	AC+2	0	AC+2	AC = After placement.				N	
1.1.007	405819	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	0	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 University 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.				N	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4058 SOM / Internal Medicine / Housestaff								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
3.2.002	405820	Employee Earnings Records Documentation of employee earnings. Records may include but are not limited to: payroll earnings registers, alpha register, check distribution, check register, employee name sequence, daily transactions, checks issued for the month, earning statement, canceled checks and online adjustments, monthly detail of close-out, monthly adjustment alphabetic roster.	FE+4	0	FE+4	40 TAC 815.106(i).				N
	405821	Resident Physician Evaluation -- Raw Data Comprised of questionnaires used to provide an evaluative record of resident physicians. Evaluation forms are summarized and merged into Departmental Resident Files.	AC+5	0	AC+5	AC = After resident has graduated or until any dispute involving the resident has been resolved, whichever occurs later.				N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	405902	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O		951	405902	D

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AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed



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RMAN: 4060 SOM / Internal Medicine / Cardiology Division

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	406001	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+5	0	US+5	O ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation. Retention is based on department policy.		957	406001	C

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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
3.4.006	406211	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).		967	406211	C	
	406214	Training & License Records / Medical This records series consists of the credentials, licenses, certifications, registrations, and permits for medical staff providing patient care, consulting services, and home health including formal training, on the job education, and continuing educational credits.	AC+7	0	AC+7	AC = After separation or termination of employment.		967	406214	D	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal N - New D - Deleted C - Changed



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4064 SOM / Internal Medicine / Geriatrics									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
1.1	406401	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+5	0	US+5	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation. Retention is based on department policy.		973	406401	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4065 AS / Academic Resources / Administration									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
4.1.002	406526	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.		988	406526	C	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4071 SOM / Psychiatry / Administration									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
	407130	Resident Physician Evaluation -- Raw Data Comprised of questionnaires used to provide an evaluative record of resident physicians. Evaluation forms are summarized and merged into Departmental Resident Files.	AC+5	0	AC+5	AC = After resident has graduated or until any dispute involving the resident has been resolved, whichever occurs later.				N	
	407131	Placement Records This series documents the written reference history of a student to be forwarded to potential employers or professional schools. Records may include but are not limited to: credentials records showing where, when, and cost of letters sent; release of information form which includes a listing of the reference letters to be sent; reference letters; student teaching reports; professional program certificates; personal data sheets and resumes; College Interview Forms; and related documentation and correspondence.	AC+2	0	AC+2	AC = After placement.				N	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
3.3.020	407511	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					N
4.5.002	407512	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				N
4.1.001	407513	Accounts Payable Information This series documents an agency's expenditures and purchases. Records may include but are not limited to: departmental purchase orders, contract release orders, balance sheets, bills, invoices, invoice vouchers, journal voucher/entry forms, and related documentation and correspondence.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1	407701	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+5	0	US+5	O ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation. Retention is based on department policy.		1031	407701	C	

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		RMAN: 4091 Health Systems / Regional Maternal And Child Health Program									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks			Pg No.	AIN	
	409134	Immunization Record And Consent Forms Signed consent forms and records noting the type of immunization performed which are not included in the patient's medical record.	AC	AC	AC	AC = 21st birthday or 10 years following end of calendar year in which the consent form was signed, whichever is later.			1047	409134	C

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CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months US - Until Superseded	
PM - Permanent		



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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks			Pg No.	AIN	
3.4.007	409407	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3				1056	409407	C
	409413	Training & License Records / Medical This records series consists of the credentials, licenses, certifications, registrations, and permits for medical staff providing patient care, consulting services, and home health including formal training, on the job education, and continuing educational credits.	AC+7	0	AC+7	AC = After separation or termination of employment.			1058	409413	D
	409414	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+50	0	AC+50	AC = Completion of training.					N
	409415	Placement Records This series documents the written reference history of a student to be forwarded to potential employers or professional schools. Records may include but are not limited to: credentials records showing where, when, and cost of letters sent; release of information form which includes a listing of the reference letters to be sent; reference letters; student teaching reports; professional program certificates; personal data sheets and resumes; College Interview Forms; and related documentation and correspondence.	AC+2	0	AC+2	AC = After placement.					N
	409416	Resident Physician Evaluation -- Raw Data Comprised of questionnaires used to provide an evaluative record of resident physicians. Evaluation forms are summarized and merged into Departmental Resident Files.	AC+5	0	AC+5	AC = After resident has graduated or until any dispute involving the resident has been resolved, whichever occurs later.					N

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End LA - Life Of Asset PM - Permanent
FE - Fiscal Year End MO - Months US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal

Amendment Codes (Field 12)

N - New D - Deleted
C - Changed



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2. Agency Code		5. Agency Item Number		6. Record Series Title			7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend. Type
723							Agency Storage Total			9. Remarks		106 No.	Pg No. AIN		
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title			7. Agency	7. Storage	7. Total	8. Archival	9. Remarks	10. 106 No.	11. Pg No.	11. AIN	12. Amend. Type		
1.1	409901	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.			US+5	0	US+5	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation. Retention is based on department policy.		1067	409901	C		
3.4.006	409915	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.			FE+4	0	FE+4		40 TAC 815.106(i).		1071	409915	C		
	409931	Placement Records This series documents the written reference history of a student to be forwarded to potential employers or professional schools. Records may include but are not limited to: credentials records showing where, when, and cost of letters sent; release of information form which includes a listing of the reference letters to be sent; reference letters; student teaching reports; professional program certificates; personal data sheets and resumes; College Interview Forms; and related documentation and correspondence.			AC+2	0	AC+2		AC = After placement.				N		
	409932	Resident Physician Evaluation -- Raw Data Comprised of questionnaires used to provide an evaluative record of resident physicians. Evaluation forms are summarized and merged into Departmental Resident Files.			AC+5	0	AC+5		AC = After resident has graduated or until any dispute involving the resident has been resolved, whichever occurs later.				N		

Retention Codes (Field 7)								Archival Codes (Field 8)				Amendment Codes (Field 12)			
AC - After Closed, Terminated, Completion, Expiration, Settled		CE - Calendar Year End		LA - Life Of Asset		PM - Permanent		I - Retain in Archives		O - Review Required Before Disposal		N - New		D - Deleted	
AV - Administrative Value		FE - Fiscal Year End		MO - Months		US - Until Superseded						C - Changed			



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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	410301	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.		1081	410301	C
1.3.001	410307	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).		1083	410307	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
5.1.004	410313	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.		1084	410313	D	
	410322	Research Protocol / Animals This records series includes animal protocols for research studies that are submitted for committee approval.	AC+3	0	AC+3	AC = Duration of the study. This records series contains confidential information pertaining to the use of animals in medical research. 9 CFR §2.36.		1086	410322	C	
	410323	Research Protocols / Human This records series includes human protocols for research studies that are submitted for committee approval.	AC+10	0	AC+10	AC = Duration of the study. This records series contains confidential information pertaining to the use of humans in medical research.		1086	410323	C	
	410324	Training & License Records / Medical This records series consists of the credentials, licenses, certifications, registrations, and permits for medical staff providing patient care, consulting services, and home health including formal training, on the job education, and continuing educational credits.	AC+7	0	AC+7	AC = After separation or termination of employment.		1086	410324	D	
	410326	UTMB Sponsored Medical Research / Human (Regulated By FDA) This records series includes UTMB sponsored human related medical research, experiments and data collected. Includes the signed informed consent form and any data safety monitoring reports.	AC+15	0	AC+15	AC = After last contact with subject.		1086	410326	C	

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CE - Calendar Year End		LA - Life Of Asset		PM - Permanent							
FE - Fiscal Year End		MO - Months		US - Until Superseded							



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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
	410714	Training & License Records / Medical This records series consists of the credentials, licenses, certifications, registrations, and permits for medical staff providing patient care, consulting services, and home health including formal training, on the job education, and continuing educational credits.	AC+7	0	AC+7	AC = After separation or termination of employment.		1099	410714	D

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
	410815	Training & License Records / Medical This records series consists of the credentials, licenses, certifications, registrations, and permits for medical staff providing patient care, consulting services, and home health including formal training, on the job education, and continuing educational credits.	AC+7	0	AC+7	AC = After separation or termination of employment.		1104	410815	D

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
	411016	Training & License Records / Medical This records series consists of the credentials, licenses, certifications, registrations, and permits for medical staff providing patient care, consulting services, and home health including formal training, on the job education, and continuing educational credits.	AC+7	0	AC+7	AC = After separation or termination of employment.		1109	411016	D

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RMAN: 4111 SOM / Pediatric Nephrology

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
	411116	Training & License Records / Medical This records series consists of the credentials, licenses, certifications, registrations, and permits for medical staff providing patient care, consulting services, and home health including formal training, on the job education, and continuing educational credits.	AC+7	0	AC+7	AC = After separation or termination of employment.		1113	411116	D

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723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
3.4.006	411312	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				N	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months
PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed



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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4114 SOM / Pediatric Genetics
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
	411417	Training & License Records / Medical This records series consists of the credentials, licenses, certifications, registrations, and permits for medical staff providing patient care, consulting services, and home health including formal training, on the job education, and continuing educational credits.	AC+7	0	AC+7	AC = After separation or termination of employment.		1122	411417	D

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4116 SOM / Pediatrics / Division of Adolescent And Behavioral Health									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
1.1.067	411608	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O		1128	411608	C	
4.7	411617	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.		1130	411617	C	

Retention Codes (Field 7)						Archival Codes (Field 8)			Amendment Codes (Field 12)		
AC - After Closed, Terminated, Completion, Expiration, Settled	CE - Calendar Year End	LA - Life Of Asset	PM - Permanent	I - Retain in Archives	N - New	D - Deleted					
AV - Administrative Value	FE - Fiscal Year End	MO - Months	US - Until Superseded	O - Review Required Before Disposal	C - Changed						



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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
	411725	Training & License Records / Medical This records series consists of the credentials, licenses, certifications, registrations, and permits for medical staff providing patient care, consulting services, and home health including formal training, on the job education, and continuing educational credits.	AC+7	0	AC+7	AC = After separation or termination of employment.		1136	411725	D

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	411901	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+5	0	US+5	O ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation. Retention is based on department policy.		1143	411901	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4121 SOM / Pediatrics General									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
3.4.006	412112	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).			1153	412112	C
3.4.007	412113	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3				1153	412113	C

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal N - New D - Deleted C - Changed



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4123 SHP / Physical Therapy									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks			Pg No.	AIN	
	412318	Equipment Usage Log This series is used to monitor the loan and return of university property such as recreational equipment and lockers and is also used to determine usage trends as an aid to purchase and replacement decisions. Records may include but are not limited to: locker agreements; equipment loan forms; usage logs; and related correspondence.	2	0	2					N	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal N - New D - Deleted C - Changed



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4127 SON / Academic Administration									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
4.5.002	412712	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.		1167	412712	D	

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AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4131 SON / Office Of Admissions And Student Affairs								
723										
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
4.5.002	413116	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.		1192	413116	D

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AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months US - Until Superseded	
PM - Permanent		



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4136 SOM / PMCH / Education								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.070	413612	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				N
1.1.038	413613	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.				N
1.1	413614	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.				N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4150 Student Life
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
	415023	Surveillance Video This records series consists of surveillance video tapes created to monitor activities occurring within and outside of institutional buildings.	30 DAYS	0	30 DAYS	CAUTION: If not required to support known investigations or litigation, reuse or destroy in 30 days. The disposal of surveillance video need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010).		1232	415023	D

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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4155 SOM / Orthopaedic Surgery And Rehabilitation
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	415501	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+5	0	US+5	O		1233	415501	C

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AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4162 SOM / Anesthesiology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
4.5.002	416212	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.		1244	416212	D
	416222	Patient Billing Provides itemized billing record for medical services rendered. Records may include but are not limited to: patient demographic information; electronic billing reports; copies of all monthly aged trail balance reports; physical logs detailing patient or insurance payments; copies of checks, ledgers, or any other information that details specific payments; insurance vouchers from Medicare, Medicaid, or any other entity with which the hospital has specific contracts; any contact from patients disputing any portion of their hospital bills for which the billing department has kept the original document, related correspondence.	1	9	10	42 CFR 422.504(d).		1246	416222	D
	416226	Student Academic Records Records may include but are not be limited to: date of admission, period of attendance, academic work undertaken, academic work successfully completed, honors awarded, diploma, degree, or certificate earned, and appropriate evaluation of work completed for students such as medical, nurses, and other professional type students. Also includes course changes and add/drops.	AC+10	0	AC+10	AC = Graduation or date of last attendance.		1248	416226	D
	416227	Test Questions And Examinations Records may include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC+2	0	AC+2	AC = After graduation or date of last attendance.		1248	416227	D

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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4167 Surgery / Administration
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1	416701	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+5	0	US+5	O ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.		1258	416701	C
	416743	Placement Records This series documents the written reference history of a student to be forwarded to potential employers or professional schools. Records may include but are not limited to: credentials records showing where, when, and cost of letters sent; release of information form which includes a listing of the reference letters to be sent; reference letters; student teaching reports; professional program certificates; personal data sheets and resumes; College Interview Forms; and related documentation and correspondence.	AC+2	0	AC+2	AC = After placement.				N

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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2. Agency Code		5. Agency Item Number		6. Record Series Title			7. Retention Period			8. Archival		10.	11. Current Schedule		12. Amend. Type
723		417105					Agency	Storage	Total	9. Remarks		106 No.	Pg No.	AIN	
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title			Agency	Storage	Total	8. Archival		10.	Pg No.	AIN	12. Amend. Type		
1.1.043	417105	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.			US+1	0	US+1				1269	417105	C		
1.1	417110	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.			US+3	0	US+3	O ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.					N		

Retention Codes (Field 7)						Archival Codes (Field 8)				Amendment Codes (Field 12)			
AC - After Closed, Terminated, Completion, Expiration, Settled	CE - Calendar Year End	LA - Life Of Asset	PM - Permanent	I - Retain in Archives	N - New	AV - Administrative Value	FE - Fiscal Year End	MO - Months	US - Until Superseded	O - Review Required Before Disposal	D - Deleted	C - Changed	



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4173 SOM / Institute For Human Infections And Immunity									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Pg No.		AIN		
4.1	417322	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+7	0	FE+7					N	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
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2. Agency Code	723	3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4174 John Sealy Memorial Endowment Fund For Biomedical Research
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
4.7	417406	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.		1279	417406	C
4.7	417407	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.		1279	417407	C

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks	106 No.	Pg No.	AIN		
	417720	Student Health and Counseling Records This series documents all students who are provided health, counseling, psychological, and psychiatric services. Clinicians provide treatment concerning health issues, personal problems, academic concerns, and career concerns. The psychiatric consultant provides psychiatric care to some student clients. Records may include but are not limited to: extensive notes made by providers concerning the assessment, diagnosis, treatment and contacts (written, telephone, or in person) with each client, immunization records, testing results, referral letters, release of information agreements, letters to agencies or others concerning the clients, and related documentation.	PM	0	PM	22 TAC 465.22(d)2 and 22 TAC 681.41(r). Retention is based on department policy.				N	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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Texas
State Library
and Archives
Commission

STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form

1. Page 138 of 143

2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4188 SOM / Radiology / Administration

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Pg No.	
1.1	418801	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+5	0	US+5	O ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation. Retention is based on department policy.		1311	418801	C

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled CE - Calendar Year End LA - Life Of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End MO - Months US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal	Amendment Codes (Field 12) N - New D - Deleted C - Changed
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Form SLR 105C must accompany this form

1. Page 139 of 143

2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4190 SOM / Sealy Center For Vaccine Development

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Pg No.	AIN	
4.7	419012	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.		1330	419012	D

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal N - New D - Deleted C - Changed



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Form SLR 105C must accompany this form

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4193 SOM / Biomolecular Resource Facility									
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Pg No.	AIN		
4.1.002	419316	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are commingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.		1342	419316	C	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months US - Until Superseded	
PM - Permanent		



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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4199 Office of Regulated Non-Clinical Studies									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Pg No.		AIN
	419920	Regulated Non-Clinical Research Data Raw data including research documentation/reports obtained in the course of a regulated non-clinical study. Documents may include but are not limited to: Investigators' Notebooks for New Drugs (laboratory notes documenting the results of experiments involving new drugs), case files, and other records of the dates, quantity and use of a new drug or device on subjects.	AC+10	0	AC+10	AC = After close of sponsored research study. CAUTION: Regulated Non-Clinical Research Studies have individual guidelines; final disposition of the records may be based on the terms of the agreement and transferred to the sponsoring entity as applicable.		1373	419920	C	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal	N - New D - Deleted C - Changed
CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months US - Until Superseded	
PM - Permanent		



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Form SLR 105C must accompany this form

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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4203 SOM / Internal Medicine / Division of Pulmonary and Critical Care And Sleep Medicine									
723											
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total	9. Remarks		Pg No.	AIN		
1.1	420301	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+5	0	US+5	O ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation. Retention is based on department policy.		1387	420301	C	
3.1.014	420308	Employment Selection Records May include but not be limited to: 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	0	2	29 CFR 1602.49(a) [State Universities]. CAUTION: Does not include criminal history checks. SEE item number 3.1.026.		1390	420308	D	

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal N - New D - Deleted C - Changed



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Form SLR 105C must accompany this form

1. Page 143 of 143

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4206 AS / Academy Of Master Teachers								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Pg No.	AIN	
1.1.070	420622	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				N
1.1	420623	Endowment Fund Reports Annual report of funds received and expended by endowment accounts to a University department.	AC+6	0	AC+6	O AC = After liquidation of funds.				N
4.5.006	420624	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3					N

Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	N - New D - Deleted C - Changed



January 20, 2015

Mr. Robert Norwood
Director, Records Management Compliance
UTMB at Galveston
301 University Blvd
Galveston, TX 77555-0918

RE: Agency records retention schedule approved for use

State and Local
Records Management

P.O. Box 12927
Austin, Texas
78711.2927

4400 Shoal Creek Blvd.
Austin, Texas
78756

www.tsl.texas.gov

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Sandra J. Pickett

Director and Librarian
Mark Smith

Assistant State Librarian
Edward Seidenberg

*Preserving yesterday,
informing today,
inspiring tomorrow.*

Dear Mr. Norwood:

Your agency's records retention schedule is approved for use as of January 9, 2015. Your currently approved records retention schedule is available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please ensure all old copies of the schedule are superseded with this recertified copy.

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

Each agency schedule must be reviewed, updated and submitted for recertification annually for the first two years after the initial approval of the schedule and every five years thereafter. The deadline for submission of your schedule for its next recertification is the last working day of **January 2020**.

During a certification period changes may need to be made to your schedule. State regulations (13 TAC §6.4) also allow for the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, or if you have any other questions, please contact the Government Information Analyst assigned to your agency, Erica Wilson, at 512-463-6627 or ewilson@tsl.texas.gov.

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

Sincerely,

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

Craig Kelso
Director and State Records Administrator

cc: State Auditor, State Archivist, David L Callendar, MD

R01.723/723



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 **723**

Agency Name **The University Of Texas Medical Branch At Galveston**

(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

Robert W. Norwood

Name *(Print or Type)*

Robert W. Norwood

Date

APRIL 28, 2014

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office

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

Signature _____

Name *(Print or Type)* _____

Date _____

Not Required at This Time

Texas State Library and Archives Commission

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

Signature

E. Siderberg

Name *(Print or Type)* _____

Date

01-09-2015

Recertification No.

7

Amendment No.

—

CAUTION

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

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





STATE OF TEXAS Records Retention Schedule APPROVED

SLR 105
Form SLR 105C must accompany this form

1. Page 2 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1001 Office Of The President								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	100104	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.067	100105	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				
3.4.006	100106	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	100107	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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STATE OF TEXAS Records Retention Schedule APPROVED

SLR 105
Form SLR 105C must accompany this form

1. Page 4 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1002 Development Office								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
1.1	100201	Alumni Records This records series documents the activities of a department's alumni and may also provide alumni offices with information on alumni. Records may be used to: create a network of support from alumni, primarily through organized alumni groups; to track alumni; to monitor their achievements, activities, and recognitions; to create statistics; to reply to information requests; and to provide information on the accomplishments of previous students. This series may include but is not limited to: memberships lists with names, addresses, employer names and addresses, and positions; minutes, and directories; promotional materials concerning annual gatherings; homecoming plans and programs; data cards and files for individual alumni; degree recipient lists; outstanding alumni lists; student leader lists; class officer lists; foreign student rosters; international alumni club records; and notes, memoranda, and related correspondence concerning general alumni affairs.	AV	PM	PM					
1.1	100202	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+1	2	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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STATE OF TEXAS Records Retention Schedule APPROVED

SLR 105
Form SLR 105C must accompany this form

1. Page 6 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1002 Development Office								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	100206	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1.007	100207	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	0	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 University 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.			
1.1.008	100208	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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STATE OF TEXAS Records Retention Schedule APPROVED

SLR 105
Form SLR 105C must accompany this form

1. Page 7 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1002 Development Office								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	100209	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.024	100210	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



STATE OF TEXAS Records Retention Schedule APPROVED

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Form SLR 105C must accompany this form

1. Page 8 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1002 Development Office								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	100211	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.070	100212	<p>Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.</p>	AC+3	0	AC+3	<p>O AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>				
1.3.002	100213	<p>Publication Development Files</p> <p>Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.</p>	AV	0	AV	<p>O</p>				
3.1.023	100214	<p>Position/Job Descriptions</p> <p>Job descriptions, including all associated task or skill statements, for positions in an agency.</p>	AC+4	0	AC+4	<p>AC = Until superseded or job eliminated. 40 TAC 815.106(i).</p>				

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal



STATE OF TEXAS Records Retention Schedule APPROVED

SLR 105
Form SLR 105C must accompany this form

1. Page 11 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1004 Office Of The President / Special Use Facilities								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	100404	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.057	100405	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC		AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1004 Office Of The President / Special Use Facilities								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.3.001	100406	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	100407	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
4.1	100408	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+7	0	FE+7					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1004 Office Of The President / Special Use Facilities								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.1.002	100409	Billing Detail Provides itemized billing record for services rendered.	FE+1	8	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007. Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.1.004	100410	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	0	US					
5.1.012	100411	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	0	US+3					
5.1.014	100412	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	0	US+1					
5.2.019	100413	Service Orders Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks.	1	0	1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1007 Office Of The President / Office Of Strategic Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	100701	Films, Videotapes, and Sound Recordings This series provides visual and/or aural documentation of institutional activities and events including students, faculty, and staff with significant relevance to either the institution's or individual unit's function and mission.	AV	0	AV	O				
1.1	100702	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1.007	100703	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	0	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 University 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.			
1.1.008	100704	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1007 Office Of The President / Office Of Strategic Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	100705	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.055	100706	Strategic Plans Information resources and operational strategic plans prepared in accordance with 2054.095 and 2056.002, Government Code.	AC+6	0	AC+6	I	AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.			

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1007 Office Of The President / Office Of Strategic Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	100707	<p>Transitory Information</p> <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; 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	0	AC	AC = Purpose of record has been fulfilled.				
1.1.067	100708	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				
1.1.070	100709	<p>Agency Rules, Policies, and Procedures - Final</p> <p>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.</p>	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures.				

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal
CE - Calendar Year End FE - Fiscal Year End	PM - Permanent US - Until Superseded
LA - Life Of Asset MO - Months	



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1008 HPLA / Government Relations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	100801	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O				
1.1	100802	Reports And Studies - Special Activity This series documents the activities of a University department. Examples may include the completion of surveys and questionnaires, compilation of special studies for professional or academic associations, and special mailings. This series may include but is not limited to: arrangements documentation; working papers; questionnaires; survey forms; study designs; reports; and related documentation and correspondence.	10	0	10	O				
1.1.002	100803	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	0	AC+7					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1008 HPLA / Government Relations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	100804	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	0	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 University 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.				
1.1.008	100805	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.023	100806	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.				
1.1.038	100807	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3	AC = After completion of survey. SEE item number 1.1.067 for summary reports compiled from customer surveys.				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
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US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1008 HPLA / Government Relations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.040	100808	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			
1.1.057	100809	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC		AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).			
1.1.063	100810	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1008 HPLA / Government Relations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.067	100811	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
1.1.069	100812	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	0	1		CAUTION: SEE item number 1.1.064.			
1.3.001	100813	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).			
1.3.002	100814	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1008 HPLA / Government Relations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.4.006	100815	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	100816	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.5.002	100817	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.5.005	100818	External Fiscal Reports Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE+3	0	FE+3					
4.7	100819	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1008 HPLA / Government Relations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.7	100820	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1009 Teen Mental Health								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	100901	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	0	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 University 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.				
1.1.008	100902	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1009 Teen Mental Health								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
1.1.013	100903	Calendars, Appointment Books 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	0	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 University 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>			
1.1.040	100904	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	<p>AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents')</p> <p>Departments below senior leadership: Until superseded or no longer needed for reference.</p>			

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal
CE - Calendar Year End FE - Fiscal Year End	PM - Permanent US - Until Superseded
LA - Life Of Asset MO - Months	



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1009 Teen Mental Health								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	100905	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.065	100906	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	100907	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1010 HPLA / Health Outcomes								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	101004	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.024	101005	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.			
1.1.040	101006	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded		Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1010 HPLA / Health Outcomes								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	101007	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.067	101008	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1010 HPLA / Health Outcomes								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.001	101009	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	101010	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1012 HPLA / Center to Eliminate Health Disparities								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	101201	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.			
1.1.007	101202	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	0	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 University 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.			
1.1.008	101203	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1012 HPLA / Center to Eliminate Health Disparities								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.024	101204	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.				
1.1.040	101205	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				
1.1.057	101206	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	101207	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1012 HPLA / Center to Eliminate Health Disparities								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.065	101208	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	AV					
1.1.067	101209	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O				
3.1.001	101210	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	0	2					
4.7	101211	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1013 John P. McGovern Academy Of Oslerian Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	101301	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	101302	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.			
1.1	101303	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1013 John P. McGovern Academy Of Oslerian Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	101304	Special Lectures This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on catering arrangements; news releases; recordings and transcripts; photographs; and related documentation and correspondence.	CE+5	0	CE+5	O				
1.1.007	101305	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	0	4	O	<p>ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the University Archives when these records have met their retention periods.</p> <p>CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.</p> <p>SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.</p>			
1.1.008	101306	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	0	2	O				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1013 John P. McGovern Academy Of Oslerian Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	101307	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.024	101308	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1013 John P. McGovern Academy Of Oslerian Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	101309	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	101310	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.070	101311	<p>Agency Rules, Policies, and Procedures - Final</p> <p>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.</p>	AC+3	0	AC+3	<p>O AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1013 John P. McGovern Academy Of Oslerian Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.001	101312	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	101313	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.3.023	101314	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	0	FE+3					
3.4.006	101315	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 1013 John P. McGovern Academy Of Oslerian Medicine

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number
			Agency	Storage	Total			
3.4.007	101316	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3			
4.5.002	101317	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.		
5.1.004	101318	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.		
	101319	Honors / Awards / Eligibility And History This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. The series may include but is not limited to: eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases.	PM	0	PM			
	101320	Honors / Awards / Supporting Documentation Records that document the process of selecting honors and award winners. Records may include but are not limited to: applications, nomination letters, recommendations, letters of award notification or denial, letters accepting or declining awards, vote tallies, transcripts, CV's, essays, course evaluations, ranking sheets, and related documentation and correspondence.	PM	0	PM	AC = After award. Retention is based on department policy.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1014 University Conferences And Events / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	101401	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	0	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 University 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.				
1.1.008	101402	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1014 University Conferences And Events / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	101403	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	101404	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1014 University Conferences And Events / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.063	101405	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.070	101406	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.1.034	101407	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	0	AV	SEE item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.				
3.4.006	101408	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	101409	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.1.001	101410	Accounts Payable Information This series documents an agency's expenditures and purchases. Records may include but are not limited to: departmental purchase orders, contract release orders, balance sheets, bills, invoices, invoice vouchers, journal voucher/entry forms, and related documentation and correspondence.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 1014 University Conferences And Events / Administration

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number
			Agency	Storage	Total	9. Remarks		
4.5.002	101411	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.		
5.1.014	101412	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	0	US+1			
5.2.014	101413	Inventory - Annual Physical Property, equipment, and supply verification.	FE+3	0	FE+3			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1015 University Conferences And Events / University Events								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	101501	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O				
1.1	101502	History Files / Agency Documents the selection of significant material that conveys the history of the agency, its government, its accomplishments, its officials or employees. Includes, but is not limited to, scrapbooks, photographs, articles, program notes and documentation of events sponsored or funded by the agency. Also included are narratives; printed, audio, or audiovisual histories; or matters of significant historical importance.	FE+6	0	FE+6	I				
1.1	101503	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1.008	101504	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	0	2					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1015 University Conferences And Events / University Events								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	101505	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	101506	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1015 University Conferences And Events / University Events								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.063	101507	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1016 HPLA / Osher Lifelong Learning Institute								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	101601	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O				
1.1	101602	History Files / Agency Documents the selection of significant material that conveys the history of the agency, its government, its accomplishments, its officials or employees. Includes, but is not limited to, scrapbooks, photographs, articles, program notes and documentation of events sponsored or funded by the agency. Also included are narratives; printed, audio, or audiovisual histories; or matters of significant historical importance.	FE+6	0	FE+6	I				
1.1	101603	Media Consent Forms This series authorizes the use of audio or visual media. Records may include but are not limited to the signed consent form and related correspondence.	AC+2	0	AC+2	O				
1.1	101604	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1	101605	Photographs And Negatives - Historically Significant Documents the collection of photographs or negatives created by or for an agency. Includes events that document the agency's organization, special ceremonies, occasions, events and facilities. May include commercially available material.	AV	0	AV	I				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1016 HPLA / Osher Lifelong Learning Institute								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	101606	Release / Liability Waiver This series documents the release of the institution or administrative unit from liability related to various activities involving students, faculty, or staff. Activities may include events such as sponsored field trips and physical education classes. Records include but are not limited to hold harmless, waiver, and release forms, related documentation, and correspondence. Information includes a statement from the participant that he/she assumes personal responsibility and holds the institution or administrative unit blameless for any accident or injury that may occur while participating, information about college insurance, description of the activity, and signatures of the participant.	AC+4	0	AC+4	AC = After release.				
1.1	101607	Special Lectures This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on catering arrangements; news releases; recordings and transcripts; photographs; and related documentation and correspondence.	CE+5	0	CE+5	O				
1.1	101608	Volunteer Records / Participants This series documents the activities and administration of an Institution's department or office's volunteer program. Records may include: volunteer hour statistics; volunteer program publicity records; insurance requirement information; and inactive volunteer files containing applications and conditions of volunteer service forms.	AC+5	0	AC+5	AC = After separation.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1016 HPLA / Osher Lifelong Learning Institute								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	101609	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	0	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 University 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.				
1.1.008	101610	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1016 HPLA / Osher Lifelong Learning Institute								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	101611	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.040	101612	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled	I - Retain in Archives
AV - Administrative Value	O - Review Required Before Disposal
CE - Calendar Year End	PM - Permanent
FE - Fiscal Year End	US - Until Superseded
LA - Life Of Asset	
MO - Months	



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1016 HPLA / Osher Lifelong Learning Institute								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	101613	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	101614	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.067	101615	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1016 HPLA / Osher Lifelong Learning Institute								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	101616	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
1.3.001	101617	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	101618	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
4.2.002	101619	Cash Receipts Includes receipts for fees (permits, licenses, renewals, etc.)	FE+3	0	FE+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1017 1115 Waiver Operations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
1.1	101701	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1.007	101702	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	0	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 University 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.			
1.1.008	101703	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1017 1115 Waiver Operations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	101704	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.043	101705	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1017 1115 Waiver Operations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.001	101709	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	101710	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
4.5.002	101711	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. Records may include but are not limited to worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 1017 1115 Waiver Operations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.7	101712	Regional Healthcare Partnership (RHP) Plan This records series documents submission of the RHP Plan as a part of the Texas Healthcare Transformation and Quality Improvement Program (Medicaid 1115 Waiver Program) and lists Delivery System Reform Incentive Payment (DSRIP) Projects that members of Region 2 plan to complete to aid the initiative to expand Medicaid managed care in Texas. Documents may include but are not limited to: Center for Medicare / Medicaid Services (CMS) Formal Review, DY2, DY4-5, DY35, performance logic, RHP Plan, feedback and modifications, workbook financials, DSRIP Projects, Community Needs Assessment, Participation Certifications, Addendums, Affiliation Agreements, Letters of Support, Collaboration letters, Drafts/ Resubmissions (clean and dirty copies), reports, and any other supporting documentation or related correspondence.	AC+5	0	AC+5	AC = End of waiver period				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2001 Information Security								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	200101	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O				
1.1	200102	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1.002	200103	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	0	AC+7					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2001 Information Security								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	200104	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	0	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 University 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.				
1.1.008	200105	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2001 Information Security								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	200106	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.024	200107	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.				
1.1.040	200108	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				
1.1.043	200109	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2001 Information Security								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	200110	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.064	200111	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	0	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.				
1.1.067	200112	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2001 Information Security								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.068	200113	Reports on Performance Measures Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC+6	0	AC+6		AC = September 1 of odd-numbered calendar years.			
1.1.070	200114	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			
1.3.001	200115	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).			
1.3.002	200116	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2001 Information Security								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
2.1.010	200117	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	0	AC	AC = All audit requirements have been met. The disposal of electronic information systems' audit logs need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010) because the system automatically overwrites these logs every 90 days.				
2.1.010	200118	Audit Trail Records / Patient Information 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+6	0	AC+6	AC = All audit requirements have been met. Retention is based on department policy.				
2.2	200119	Information Resources / Risk Assessment This records series documents information security assessments on the status and effectiveness of information resources security controls. Documents may include but are not limited to: engagement letter; pre-assessment questionnaire; dataflow network/ server connection diagrams; survey response summary; vulnerability scans; final risk assessment report and related correspondence.	AC+3	0	AC+3	AC = Date report is published.				
2.2	200120	Information System Incident Reports This records series documents the mechanisms used to monitor, identify and report electronic information security breaches affecting personal computers and networks. Documents may include but are not limited to: system tracking tickets, supporting investigation documents, final computer incident report and related correspondence.	FE+3	0	FE+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2004 Audit Services Consulting And Investigation								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	200401	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1	200402	Reports And Studies - Special Activity This series documents the activities of a University department. Examples may include the completion of surveys and questionnaires, compilation of special studies for professional or academic associations, and special mailings. This series may include but is not limited to: arrangements documentation; working papers; questionnaires; survey forms; study designs; reports; and related documentation and correspondence.	10	0	10	O				
1.1.002	200403	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	0	AC+7					
1.1.008	200404	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	0	2					
1.1.024	200405	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2004 Audit Services Consulting And Investigation								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.038	200406	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3	AC = After completion of survey. SEE item number 1.1.067 for summary reports compiled from customer surveys.				
1.1.043	200407	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					
1.1.057	200408	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2004 Audit Services Consulting And Investigation								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	200409	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.4.006	200410	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	200411	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal
CE - Calendar Year End FE - Fiscal Year End	
LA - Life Of Asset MO - Months	
	PM - Permanent US - Until Superseded



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2005 Finance / Government Reimbursement								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.002	200501	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+2	5	AC+7					
1.1.008	200502	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	0	2					
1.1.013	200503	Calendars, Appointment Books 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	0	CE+1	O				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

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MO - Months

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Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2005 Finance / Government Reimbursement								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	200504	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	200505	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.067	200506	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	AC+2	3	AC+5	O	<p>AC = After last notice provider reimbursement date.</p> <p>ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p> <p>Retention is based on department policy.</p>			
3.4.006	200507	<p>Time Cards and Time Sheets</p> <p>A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.</p>	FE	4	FE+4		40 TAC 815.106(i).			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2005 Finance / Government Reimbursement								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.4.007	200508	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE	3	FE+3					
4.2.005	200509	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+2	7	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.5	200510	Building Depreciation Ledgers This records series consists of depreciation logs for buildings owned by the institution. This records series may include but is not limited to: depreciation calculations for all buildings, supporting documentation showing the accumulated depreciation has been calculated appropriately, depreciation of buildings for Medicare cost reporting, and all ledgers associated with building depreciation.	AC+7	0	AC+7	AC = Until building is demolished.				
4.5.002	200511	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+1	2	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
5.1.004	200512	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2009 OLRA / Office Of Technology Transfer								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	200901	Copyright This records series pertains to the form of protection that may be obtained for original works of authorship by a University employee within the scope of his or her employment, including works such as intellectual, artistic, computer software, and literary works. Records may include but are not limited to a copy of the work of authorship itself (e.g., an article, book, computer program) as submitted to the United States Copyright office and the corresponding copyright application and registration notice.	AV	PM	PM					
1.1	200902	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1	200903	Patents This records series pertains to the form of intellectual property protection that may be obtained for processes, machines, manufactured articles, and compositions of matter discovered by a University employee within the scope of his or her employment. Records may include but are not limited to a copy of the patent (including the official copy issued by the United States Patent and Trademark Office) and all of the documents related to the patent application, correspondence between university officials responsible for obtaining patent protection and the inventors, and correspondence among such university officials, the inventors, and outside patent counsel.	AV	PM	PM	O				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2009 OLRA / Office Of Technology Transfer								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	200904	Trademarks This records series pertains to the form of intellectual property protection that may be obtained for a word, phrase, symbol, or design (or combination thereof) that identifies and distinguishes the source of a service. Records may include but are not limited to a copy of the trademark registration, the trademark application, and correspondence among University officials responsible for obtaining trademark protection, the inventors of the trademark, and attorneys responsible for obtaining trademark protection.	AV	PM	PM					
1.1.007	200905	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	0	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 University 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.			
1.1.008	200906	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7)

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Archival Codes (Field 8)

I - Retain in Archives
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2009 OLRA / Office Of Technology Transfer								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	200907	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.043	200908	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

Retention Codes (Field 7)

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Archival Codes (Field 8)

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O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2009 OLRA / Office Of Technology Transfer								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	200909	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.067	200910	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				
1.1.070	200911	<p>Agency Rules, Policies, and Procedures - Final</p> <p>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.</p>	AC+3	0	AC+3	<p>O AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>				

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2009 OLRA / Office Of Technology Transfer								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
3.4.006	200912	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i). UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007. Monthly reconciliation and approval of expenses required by internal audit.				
3.4.007	200913	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.1.002	200914	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9					
4.5.002	200915	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3					
4.6.002	200916	Reconciliations	FE+3	0	FE+3					

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Archival Codes (Field 8)

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O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2009 OLRA / Office Of Technology Transfer								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.7	200917	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+1	1	AC+2	AC = After notification.				
4.7	200918	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+1	3	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.1	200919	License Contracts And Agreements This records series documents contracts and agreements between the institution and private corporations and/or vendors for the development and marketing of devices, compounds and procedures. Records may include, but are not limited to: license agreements specifying patent, marketing and percentage distribution when the device, compound or procedure is available for sale on the market, and all related correspondence.	AC	6	AC+6	AC = Life of Patent or term of agreement, whichever is longer.				

Retention Codes (Field 7)	Archival Codes (Field 8)
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2012 Finance / Controller / Treasury								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	201201	Agreement Administration Records This series provides a record of all phases of the administration of agreements from negotiation to final performance. Records may include but are not limited to: negotiation issues documentation, memos of understanding, a copy of the agreement, amendments, scope of work, terms and conditions, billing and payment documentation, and related correspondence.	AC+6	0	AC+6	AC = Completion of the agreement and all actions have been finalized. 45 CFR §164.530(j)(2).				
1.1	201202	Reports And Studies - Special Activity This series documents the activities of a University department. Examples may include the completion of surveys and questionnaires, compilation of special studies for professional or academic associations, and special mailings. This series may include but is not limited to: arrangements documentation; working papers; questionnaires; survey forms; study designs; reports; and related documentation and correspondence.	10	0	10	O ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2012 Finance / Controller / Treasury								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	201203	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	0	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 University 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.				
1.1.008	201204	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7)

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Archival Codes (Field 8)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2012 Finance / Controller / Treasury								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	201205	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.057	201206	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC		AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2012 Finance / Controller / Treasury								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	201207	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
4.2.002	201208	Cash Receipts Includes receipts for fees (permits, licenses, renewals, etc.)	FE+1	2	FE+3					
4.2.003	201209	Daily Cash Receipts Logs	FE+1	2	FE+3					
4.2.006	201210	General Journal Vouchers A record of budget entries and transfers of funds between an agency's budgets.	FE+1	8	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.5.002	201211	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+1	2	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.6.001	201212	Balancing Records	FE	3	FE+3					

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Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 2013 Finance / Controller / Asset Management

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number
			Agency	Storage	Total				
1.1	201301	Gift Records Or Donor Files This series documents potential or realized private, corporate, or public agency funding to the institution, including endowments, gifts, donor records and trusts. This series may include but is not limited to: award guidelines; letters and agreements of gifts; amounts of donations received; names of donors; conditions placed on donations; copies of bequest instruments and wills from individuals or estates; gift / pledge transmittal forms; solicitation material; acknowledgement letters; copies of checks or securities documents; financial statements and reports, including records of fund disbursements; and related documentation and correspondence.	AV	PM	PM	I	Security is open with restrictions.		
1.1.007	201302	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	0	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 University 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.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2013 Finance / Controller / Asset Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	201303	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	0	2					
1.1.013	201304	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.043	201305	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2013 Finance / Controller / Asset Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	201306	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	201307	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.070	201308	<p>Agency Rules, Policies, and Procedures - Final</p> <p>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.</p>	AC+3	0	AC+3	<p>O AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2013 Finance / Controller / Asset Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.5.003	201309	Annual Financial Reports Required by the General Appropriations Act (100 Day Report).	AC+1	5	AC+6	I				
4.6.002	201310	Reconciliations	FE+1	2	FE+3					
4.7.004	201311	Capital Asset Records	LA	9	LA+9					
5.1.001	201312	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+1	5	AC+6					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.2.014	201313	Inventory - Annual Physical Property, equipment, and supply verification.	FE+3	0	FE+3					
5.2.015	201314	Inventory, Notices of Equipment Removed from This series documents changes in state owned property, requests to declare items surplus, salvage, or scrap. Records may include but are not limited to Surplus Equipment Worksheet, related documentation, and correspondence.	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2014 Finance / Controller / General Accounting								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	201401	Reports And Studies - Special Activity This series documents the activities of a University department. Examples may include the completion of surveys and questionnaires, compilation of special studies for professional or academic associations, and special mailings. This series may include but is not limited to: arrangements documentation; working papers; questionnaires; survey forms; study designs; reports; and related documentation and correspondence.	10	0	10	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention.			
1.1.002	201402	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+1	6	AC+7		AC = Publication or release of final audit findings. The record copy of any audit performed by the State Auditor's Office is retained permanently by UTMB's Internal Audit Services Consulting And Investigation.			
1.1.004	201403	Legislative Appropriation Requests Including any supporting documentation created and/ or used to justify and support legislative appropriations requests by an agency.	AC+6	0	AC+6	I	AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2014 Finance / Controller / General Accounting								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	201404	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	0	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 University 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.				
1.1.008	201405	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2014 Finance / Controller / General Accounting								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	201406	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.040	201407	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			
1.1.043	201408	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2014 Finance / Controller / General Accounting								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	201409	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	201410	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.068	201411	<p>Reports on Performance Measures</p> <p>Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.</p>	AC+6	0	AC+6	AC = September 1 of odd-numbered calendar years.				
1.1.070	201412	<p>Agency Rules, Policies, and Procedures - Final</p> <p>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.</p>	AC+3	0	AC+3	<p>O AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2014 Finance / Controller / General Accounting								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
2.1.007	201413	Software Programs Automated software applications and operating system files including job control language, program listing/source code, etc.	AC	0	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.				
3.2.003	201414	Federal Tax Records This series provides a summary record of data reported on the annual wage and tax statements for agency employees, corrections to these statements, and a record of transmittal to the federal government. Records include print-outs from the agency by year in social security number order which include names, social security numbers, tax subject earnings, other data required by law, summary transmittal forms, and FICA records. Forms may include IRS forms W-2, W-2C, W-3, W-3C and 990-T.	AC+1	5	AC+6	AC = Tax due date, date claim is filed, or date tax is paid whichever is later. 26 CFR 31.6001-1(e)(2). IRC Section 6531 Title 26- Internal Revenue Code.				
4.1	201415	Financial Records / Acquired This records series consists of financial information pertaining to the acquisition of a facility, hospital, or clinic.	FE+7	0	FE+7					
4.1	201416	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+7	0	FE+7					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2014 Finance / Controller / General Accounting								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total					
4.1	201417	Unclaimed Accounts Payable And Payroll Checks This record series consists of returned checks due to an incorrect address for the intended person or agency.	FE+10	0	FE+10					
4.1.002	201418	Billing Detail Provides itemized billing record for services rendered.	FE+2	7	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				
4.2.002	201419	Cash Receipts Includes receipts for fees (permits, licenses, renewals, etc.)	FE+5	0	FE+5	Retention is based on department policy.				
4.2.006	201420	General Journal Vouchers A record of budget entries and transfers of funds between an agency's budgets.	FE+1	8	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.3.003	201421	Expenditures Journals or Registers	FE	3	FE+3					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.4.001	201422	General and Subsidiary Ledgers	FE	9	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.5	201423	Building Depreciation Ledgers <small>This records series consists of depreciation logs for buildings owned by the institution. Records include but are not limited to: depreciation calculations for all buildings; supporting documentation showing the accumulated depreciation has been calculated appropriately; depreciation of buildings for Medicare cost reporting and all ledgers associated with building depreciation.</small>	AC+7	0	AC+7	AC = Until building is demolished.				
4.5.002	201424	Internal Fiscal Management Reports <small>Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.</small>	FE+1	4	FE+5	Monthly reconciliation and approval of expenses required by internal audit. Retention is based on department policy.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2014 Finance / Controller / General Accounting								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.5.003	201425	Annual Financial Reports Required by the General Appropriations Act (100 Day Report).	AC+6	0	AC+6	I AC = September 1 of odd-numbered calendar years. 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 I. 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.				
4.5.005	201426	External Fiscal Reports Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE+1	4	FE+5	Retention is based on department policy.				
4.5.006	201427	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3					
4.6.002	201428	Reconciliations	FE+1	4	FE+5	Retention is based on department policy.				
4.7	201429	Account Records This records series documents the creation of accounts. Records may include but are not limited to signature authorizations, active dates of account, modification of account numbers, authorized users/ approvers, and related documents and correspondence.	AC+1	6	AC+7	AC = After account closed.				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2014 Finance / Controller / General Accounting								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.7	201430	Information Request Records This record series consists of statistical and operational responses to inquiries from internal departments and external organizations seeking a variety of information. Records may include but are not limited to: survey material, data references, internal studies with supporting information, job information, benchmarking data, other records related to the study of internal operations, related correspondence, and the final computation of the data into a report.	FE+3	0	FE+3					
4.7.002	201431	Bank Statements Records that list deposits, withdrawals, checks paid, interest earned, and service charges or penalties incurred on an account. Statements show the cumulative effect of these transactions the account's balance.	FE+5	0	FE+5	Retention is based on department policy.				
4.7.007	201432	Detail Chart of Accounts A list of accounts used by an organization with each account usually assigned a number or code.	FE+3	0	FE+3					
5.1.014	201433	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	0	US+1					
5.4.012	201434	Security Access Records Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency facilities, equipment, or automated systems.	AC+2	0	AC+2	AC = Until superseded, date of expiration, or date of termination, whichever sooner.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2016 BOF / Supply Chain / Accounts Payable								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	201601	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	0	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 University 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.				
1.1.008	201602	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2016 BOF / Supply Chain / Accounts Payable								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	201603	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	201604	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.063	201605	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.070	201606	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
4.1.003	201607	Cancelled Checks/Stubs/Warrants/Drafts This records series consists of canceled checks issued for authorized payments or refunds.	FE+1	6	FE+7					
4.2.005	201608	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+1	8	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.2.007	201609	Expenditure Vouchers Travel, Payroll, etc.	FE+1	8	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	201701	Media Consent Forms This series authorizes the use of audio or visual media. Records may include but are not limited to the signed consent form and related correspondence.	AC+2	0	AC+2	O				
1.1	201702	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	1	5	6	O				
1.1	201703	Trademarks This records series pertains to the form of intellectual property protection that may be obtained for a word, phrase, symbol, or design (or combination thereof) that identifies and distinguishes the source of a service. Records may include but are not limited to a copy of the trademark registration, the trademark application, and correspondence among University officials responsible for obtaining trademark protection, the inventors of the trademark, and attorneys responsible for obtaining trademark protection.	PM	0	PM					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2017 Marketing And Communications								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	201704	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	0	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 University 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.				
1.1.008	201705	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2017 Marketing And Communications								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	201706	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.019	201707	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	0	2	O				
1.1.024	201708	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.				
1.1.040	201709	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2017 Marketing And Communications								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	201710	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.065	201711	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.				
1.1.067	201712	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	201713	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
1.3.001	201714	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	201715	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.3.020	201716	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2018 Information Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.004	201801	Legislative Appropriation Requests Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC+6	0	AC+6	I	AC = September 1 of odd-numbered calendar years. 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.			
1.1.007	201802	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.	1	3	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 University 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.			
1.1.008	201803	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2018 Information Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	201804	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.023	201805	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I	Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.			
1.1.038	201806	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3		AC = After completion of survey. SEE item number 1.1.067 for summary reports compiled from customer surveys.			
1.1.040	201807	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.043	201808	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					
1.1.057	201809	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.067	201810	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.069	201811	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	0	1	CAUTION: SEE item number 1.1.064.				
1.1.070	201812	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
2.1.001	201813	Processing Files Machine-readable files used in the creation, utilization, and updating of master files.	AC	0	AC	AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, 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.				
2.1.007	201814	Software Programs Automated software applications and operating system files including job control language, program listing/source code, etc.	AC	0	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.				

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2.1.008	201815	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	0	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.				
2.1.009	201816	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	0	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.				
2.1.010	201817	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	0	AC	AC = All audit requirements have been met.				

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2.2.001	201818	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	0	AV					
2.2.002	201819	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+1	8	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number 2.1.009.				
2.2.004	201820	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 MO	0	3 MO					
2.2.010	201821	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	0	US+3					
2.2.012	201822	Output Records for Computer Production Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV	0	AV					

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			Agency	Storage	Total	9. Remarks				
2.2.014	201823	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	0	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).				
2.2.015	201824	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 a user's progress.	AV	0	AV	The disposal of history files 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).				
3.3.020	201825	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
4.1	201826	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+7	0	FE+7					

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4.1.002	201827	Billing Detail Provides itemized billing record for services rendered.	FE+1	8	FE+9	<p>UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.</p> <p>CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.</p>				
4.2.005	201828	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+1	8	FE+9	<p>UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.</p>				
4.2.006	201829	General Journal Vouchers A record of budget entries and transfers of funds between an agency's budgets.	FE+1	8	FE+9	<p>UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.</p>				

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5.4.013	201836	Disaster Preparedness and Recovery Plans Emergency preparedness procedures in the event of severe weather or any potential damage to institutional property due to storms, riots, fires, droughts, floods, or other events which could affect normal operations and facilities within the jurisdiction of the institution. The preparedness portion may include but is not limited to: department specific procedures, a list of essential employees, housing, emergency numbers, etc. The recovery portion may include but is not limited to: diaries, logs, reports, photographs, notes which indicate or document what happened, when, and where, and related documentation and correspondence.	US	0	US					
5.5.001	201837	Billing Detail - Telecommunications (Other Than TEX-AN) In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE+1	8	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. SEE: item number 5.5.006 for TEX-AN billing detail.				
5.5.003	201838	Station Activity Reports Internal listing of all incoming/outgoing telephone activity to individual telephone stations.	AV	0	AV					
5.5.004	201839	System Activity Reports Internal listing of all incoming/outgoing agency telephone activity.	AV	0	AV					

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5.5.006	201840	Billing Detail - Telecommunications (TEX-AN) In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE+1	8	FE+9	<p>UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.</p> <p>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.</p>				

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			Agency	Storage	Total	9. Remarks				
1.1.007	201901	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	0	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 University 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.				
1.1.008	201902	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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			Agency	Storage	Total	9. Remarks				
1.1.013	201903	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	201904	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

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			Agency	Storage	Total					
1.1.067	201905	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
1.3.001	201906	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).			
1.3.002	201907	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.1	201908	Criminal History Authorization Forms – Not Hired Authorization form signed by a potential employee to run criminal history, background check, and any other pre-employment check as a part of the hiring process.	AC+5	0	AC+5		AC = Date of rejection. 15 USC 1681.			

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3.1	201909	Drug Test Records This records series consists of negative and positive results of a drug test under the Drug Free Workplace Act or as required for CDL or other drivers under US DOT regulations as well as records related to canceled tests. This series might include documents generated in decisions to administer reasonable suspicion or post-accident testing, or in verifying the existence of a medical explanation of the inability of the driver to provide adequate breath or to provide a urine specimen for testing. In addition, the case file could include: the employer's copy of an alcohol test form, including the results of the test; a copy of the controlled substances test chain of custody control form; documents sent by the Medical Review Officer (MRO) to the employer; notice to report for testing; affidavit signed by the employee stating any prescription drugs or over the counter medication currently taken; and final clearance to resume working. This records series can also consist of documentation, including memorandum and correspondence, related to an employee's refusal to take or submit samples for an alcohol and/or controlled substances test(s).	5	0	5	49 CFR 382.401.				
3.1.001	201910	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	0	2	29 CFR 1602.49(a) [State Universities].				

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3.1.014	201911	Employment Selection Records May include but not be limited to: 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.	1	1	2	29 CFR 1602.49(a) [State Universities]. CAUTION: Does not include criminal history checks. SEE item number 3.1.026.				
3.1.026	201912	Criminal History Checks Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC	0	AC	AC = End of probationary period or is used for authorized purpose. Texas Government Code 411.094 Access to criminal history record information: Higher Education Entities.				
4.1	201913	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+7	0	FE+7					
4.5.002	201914	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
5.4.011	201915	Visitor Control Registers Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.	3	0	3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2020 HR / Workforce Technology and Analytics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	202001	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	0	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 University 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.				
1.1.008	202002	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.038	202003	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3	AC = After completion of survey. SEE item number 1.1.067 for summary reports compiled from customer surveys.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2020 HR / Workforce Technology and Analytics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	202004	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.065	202005	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.				
1.1.067	202006	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2020 HR / Workforce Technology and Analytics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	202007	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.2.010	202008	Human Resources Information System (HRIS) Reports Includes supporting documentation.	AC+4	0	AC+4	AC = Report date.				
4.5.002	202009	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
5.1	202010	Service Request A record of requests for service or information received and responses made to them by University staff. Logs reflect date, time, caller, recipient of call, nature of business discussed and close date. May include written or electronic inquiries and responses.	1	0	1					

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Archival Codes (Field 8)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2021 BOF / Supply Chain / Procurement								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	202101	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	0	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 University 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.				
1.1.008	202102	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.	1	1	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.043	202103	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	202104	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.065	202105	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	202106	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	1	2	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	202107	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
4.2.005	202108	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+1	8	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.5.005	202109	External Fiscal Reports Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE+3	0	FE+3					
5.1.001	202110	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+1	8	AC+9	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. Retention is based on department policy.				
5.2.028	202111	Building Construction Contract And Inspection Records Building construction contracts, surety bonds, and inspection records.	LA+10	0	LA+10	O SEE ALSO item numbers 5.2.002 and 5.2.003.				

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			Agency	Storage	Total				9. Remarks	
5.3.007	202112	Bid Documentation Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	FE+3	0	FE+3	CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001 and 5.2.028.				
5.3	202113	Request For Taxpayer Identification Number (TIN) This record series may include but is not limited to the following: W9 Taxpayer Identification Number from vendors and related documentation and correspondence.	AC+1	6	AC+7	AC = Vendor deletion from PeopleSoft system. 26 CFR 31.3406(h)-3(g).				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	202201	Subpoenas Legal document requiring recipient to appear in court to testify, or to produce records to be used in litigation.	FE+3	0	FE+3		Some information may be exempt from public disclosure.			
1.1.006	202202	Complaint Records Complaints received by the agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+2	0	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 (litigation files).			
1.1.007	202203	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	0	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 University 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.			
1.1.008	202204	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

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1.1.013	202205	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.014	202206	Legal Opinions and Advice From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV	0	AV	O CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048.				
1.1.020	202207	Public Information Requests - Not Exempted Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code).	AC+1	0	AC+1	AC = Date request fulfilled.				
1.1.021	202208	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	0	AC+2	AC = Date of notification that records are exempt.				

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			Agency	Storage	Total					
1.1.023	202209	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I	Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.			
1.1.038	202210	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3		AC = After completion of survey. SEE item number 1.1.067 for summary reports compiled from customer surveys.			
1.1.048	202211	Litigation Files Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC	10	AC+10	O	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. ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the University Archives.			
1.1.048	202212	Medical Liability Claims And Litigation Files Records related to threatened or asserted medical litigation or investigation. This series may include but is not limited to: discovery, legal counsel work-products, evidence files, exposure records, exhibits, final judgments, correspondence, financial records, etc.	AC	20	AC+20	O	AC = After closed. All statutes of limitation must be met before file is closed. ARCHIVES NOTE: Review before disposal; some cases that set legal precedent may merit a review by University Archivist for historical reasons.			

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			Agency	Storage	Total	9. Remarks				
1.1.057	202213	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.067	202214	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				
1.1.070	202215	<p>Agency Rules, Policies, and Procedures - Final</p> <p>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.</p>	AC+3	0	AC+3	<p>O AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>				

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			Agency	Storage	Total	9. Remarks				
2.2.016	202216	Software Registrations, Warranties And License Agreements	LA+3	0	LA+3					
3.1.018	202217	Grievance Records Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC+2	0	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.				
3.2	202218	Nonimmigrant Visa Status and Employment Authorization This records series documents federal reporting requirements for non-resident aliens. The series may include but not be limited to: passport information, INS Form I-94; INS Form IAP-66; INS Form I-20, INS Form I-797; Employment Authorization Documents (EAD); Visa petitions sent to INS with supporting documents (CV, letters of support, credentials, fees paid, dependents visa documents), copy of Social Security Card, W-4, IRS Form 8233 and attachments signed by employees during the tax year, 1078, correspondence, notes, log sheets describing interactions, data sheet with address and other particulars; and other documentation pertinent to visa status and employment authorization.	AC+1	4	AC+5	AC = Upon termination of employment forward record to Human Resources Employee Records.				
3.4.006	202219	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	202220	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

Retention Codes (Field 7)

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MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2022 OLRA / Office Of Legal And Regulatory Affairs								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.2.001	202221	Cash Deposit Vouchers Cash deposit slips.	FE+3	0	FE+3					
4.2.005	202222	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. Monthly reconciliation and approval of expenses required by internal audit.				
4.5.002	202223	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3					
4.5.006	202224	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3					
4.6.002	202225	Reconciliations	FE+3	0	FE+3					
5.1	202226	Contracts And Leases Not Executed This series consists of legal documents, correspondence, reports, etc. relating to the negotiation of contracts and leases that were not executed.	AC+1	0	AC+1		AC = After decision to not execute.			

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
5.1	202227	Performance Agreements This series provides a record of Personal/Professional Services Contracts between the institution and independent contractors for professional, specialized, educational, or creative services. The contracts are for a one-time performance of services or for services provided on a continuing basis. This series may include but is not limited to: the performance agreement or contract, negotiation documentation, amendments, scope of work, terms and conditions, billing and payment documentation, and related documentation and correspondence.	AC+6	0	AC+6	AC = After completion of agreement.				
5.1.001	202228	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+6	0	AC+6	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2).				
5.1.014	202229	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	0	US+1					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	202230	Student Grievance Records This series documents grievances brought forward by students against the institution which do not result in litigation. Grievances may pertain to academic issues, housing, affirmative action and equal opportunity, student conduct, and other issues. Records may include but are not limited to: notices of grievance, informal discussion notes, grievance responses, formal hearing notes (including audio tapes), final summary statements, settlement agreements, appeals documentation, and related records.	AC+3	0	AC+3	AC = After resolution.				
	202231	Student Misconduct Records This series is used to provide a record of accusations of misconduct brought forward by faculty, students, and individuals external to the institution relating to student misconduct. Records may include but are not limited to: accusation statements, inquiry committee findings, copies of subpoenas, attorney notes, court judgments, and related correspondence.	AC+5	0	AC+5	AC = After completion of investigation.				

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			Agency	Storage	Total	9. Remarks				
1.1	202301	Agreement Administration Records This series provides a record of all phases of the administration of agreements from negotiation to final performance. Records may include but are not limited to: negotiation issues documentation, memos of understanding, a copy of the agreement, amendments, scope of work, terms and conditions, billing and payment documentation, and related correspondence.	AC+6	0	AC+6	AC = Completion of the agreement and all actions have been finalized. 45 CFR §164.530(j)(2).				
1.1	202302	Deeds And Other Legal Documents Reflecting Legal Title This records series consists of property deeds. The series may include but is not limited to: appraisals, surveys, descriptions of property, the names of grantors and grantees, mortgagers and mortgagees, and other supporting documents. The series may also document institution ownership of vehicles such as cars, vans, trucks, trailers, boats, tractors, and farm vehicles.	LA	0	LA					
1.1	202303	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.			
1.1	202304	Films, Videotapes, and Sound Recordings This series provides visual and/or aural documentation of institutional activities and events including students, faculty, and staff with significant relevance to either the institution's or individual unit's function and mission.	AV	0	AV	O				

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			Agency	Storage	Total					
1.1	202305	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1	202306	Photographs And Negatives - Historically Significant Documents the collection of photographs or negatives created by or for an agency. Includes events that document the agency's organization, special ceremonies, occasions, events and facilities. May include commercially available material.	AV	0	AV	I				
1.1.007	202307	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.	1	3	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 University 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.			
1.1.008	202308	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

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			Agency	Storage	Total					
1.1.013	202309	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.023	202310	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I	Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.			
1.1.038	202311	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3		AC = After completion of survey. SEE item number 1.1.067 for summary reports compiled from customer surveys.			
1.1.040	202312	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			

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			Agency	Storage	Total				9. Remarks	
1.1.041	202313	Suggestion System Records Suggestions submitted by agency personnel and responses.	1	0	1	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.057	202314	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC					
1.1.063	202315	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.065	202316	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.			

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			Agency	Storage	Total					
1.1.067	202317	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
1.1.069	202318	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	0	1		CAUTION: SEE item number 1.1.064.			
1.1.070	202319	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			
1.2.003	202320	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	0	AC+1		AC = Discontinuance of use of form.			

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			Agency	Storage	Total				9. Remarks	
1.3.001	202321	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	202322	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.3.030	202323	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	0	US+2	CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.				
4.1	202324	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+1	6	FE+7					

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			Agency	Storage	Total				9. Remarks	
4.1.002	202325	Billing Detail Provides itemized billing record for services rendered.	FE	9	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				
4.5.002	202326	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+1	2	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				

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4.7	202327	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC	20	AC+20	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant. Retention is based on department policy.				
5.1	202328	Service Request A record of requests for service or information received and responses made to them by University staff. Logs reflect date, time, caller, recipient of call, nature of business discussed and close date. May include written or electronic inquiries and responses.	1	0	1					
5.1.004	202329	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.1.010	202330	Licenses and Permits for Non-vehicles Does not include licenses and permits issued by an agency as part of its statutory responsibilities.	AC+2	0	AC+2	AC = Expiration date of license or permit.				

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5.1.012	202331	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	0	US+3					
5.1.013	202332	Insurance Policies For vehicles, equipment, etc.	AC+4	0	AC+4	AC = Expiration or termination of the policy according to its terms.				
5.2	202333	Demolition Records Records relating to the demolition and clearance of buildings. Records may include but are not limited to: demolition orders, inspection reports, and any related documents or correspondence.	AC+3	0	AC+3	O AC = Date of demolition.				
5.2	202334	Disaster Validation / Mitigation Reimbursement Records This series documents the events and damages to institutional property due to a storm or disaster related event affecting facilities and equipment within the jurisdiction of the institution. This series may include but is not limited to: a scope of work and cost to repair back to pre-storm condition, an executive summary, storm history, system or building description, damage validation methodology, damage validation conclusion, numerous exhibits including photographs, specifications, location or plan drawings and Rebuild in Kind project worksheets detailing associated costs, related documentation and correspondence.	AC+1	10	AC+11	AC = Completion of project.				
5.2	202335	Easements Documentation relating to easements and rights-of-way for public works or other local government purposes, including releases.	PM	0	PM					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2023 BOF / Business Operations And Facilities								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks	O			
5.2	202336	Elevator Monitoring Records This series documents elevator usage on campus, error codes, fire alarms, door ajar, reset, how long down, etc.	3	0	3					
5.2	202337	Facilities Master Planning Records This record series consists of those graphic and engineering preliminary drawing records that depict conceptual as well as precise measured information essential for the planning and construction of facilities.	AC	0	AC	O	AC = After completion and acceptance or until administrative value is lost.			
5.2	202338	Pesticide And Herbicide Application Records This series documents the application of chemicals such as pesticides, herbicides, and fertilizers to institutional property. Information usually includes: date used, weather conditions, application area, chemical applied, mix ratio, and coverage rate.	AC+2	0	AC+2		AC = Date of application. Agriculture Code, Section 76.114(c) and by regulation - 4 TAC 7.33(a) and 4 TAC 7.144(a).			
5.2	202339	Room Change Records This series documents room assignments and room remodeling completed by the facilities service units. Information may include but is not limited to: the building and room, specific space requests, the reason for the change, who requested the change, date of request, who approved the change, funding source, special approvals needed, and date approved.	3	0	3					
5.2.001	202340	Appraisals - Building or Property	AV	0	AV	O				
5.2.002	202341	Building Construction Project Files Planning, design, and construction records; accepted and rejected bids; correspondence; etc.	AC+1	9	AC+10	O	AC = Completion of project. SEE ALSO item numbers 5.2.003 and 5.2.028.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 2023 BOF / Business Operations And Facilities

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number
			Agency	Storage	Total	9. Remarks		
5.2.003	202342	Building Plans and Specifications / Leased Includes architectural and engineering drawings, profiles, and blueprints.	AC+2	0	AC+2	AC = Termination or cancellation of lease. SEE ALSO item numbers 5.2.002 and 5.2.028.		
5.2.003	202343	Building Plans and Specifications / State Owned Includes architectural and engineering drawings, profiles, and blueprints.	AV	LA	LA	O SEE ALSO item numbers 5.2.002 and 5.2.028.		
5.2.004	202344	Building Space Requests	1	0	1			
5.2.007	202345	Damage Reports Reports of damage to state property.	FE+1	2	FE+3			
5.2.008	202346	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.	LA+3	0	LA+3			
5.2.019	202347	Service Orders Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks.	1	0	1			
5.2.020	202348	Supply Usage Records This series is used to document supply usage and charges. This series may include but is not limited to: stock printouts, inventory reports, and related documentation and correspondence.	FE+1	0	FE+1			
5.2.022	202349	Utility Usage Reports	AV	0	AV			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2023 BOF / Business Operations And Facilities								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.2.027	202350	Space Utilization Reports	FE+1	8	FE+9					
5.2.028	202351	Building Construction Contract And Inspection Records Building construction contracts, surety bonds, and inspection records.	LA+10	0	LA+10	O	SEE ALSO item numbers 5.2.002 and 5.2.003.			
5.3	202352	Procurement Card Records A record of purchases made with a University of Texas Medical Branch Procurement Card. This records series may include but is not limited to: Procurement Card Transaction Log, original charge slip, sales receipt, packing slip, invoice, or any other information related to the purchase.	FE	3	FE+3					
5.4	202353	Chemical and Hazardous Waste Disposal Records This series documents the receipt, shipment, and disposal of chemical material or hazardous wastes on campus. This series includes but is not limited to: chemical and waste inspection forms; drum packing sheets; Uniform Hazardous Waste Manifest forms (EPA 8700); Certificates of Disposal from vendors; land disposal notification forms; waste disposal records; and related documentation and correspondence.	3	PM	PM					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2023 BOF / Business Operations And Facilities								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
5.4	202354	Disaster Preparedness Drills This records series consists of the results of disaster preparedness exercises and the supporting documents including scenarios, location of safety related drills, timetables, response times, probable outcomes, areas of difficulties, description of how difficulties were resolved, and areas for improvement. Types of drills may include: hurricane, freezing weather, fire, and chemical spills.	FE+3	0	FE+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.				
5.4.002	202355	Evacuation Plans Plans for evacuation of agency facilities in cases of emergency.	US	0	US					
5.4.003	202356	Inspection Records Fire, safety, and other inspection records of agency facilities and equipment.	AC+3	0	AC+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2024 BOF / Supply Chain / Supply Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.008	202401	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.057	202402	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	202403	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.065	202404	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2024 BOF / Supply Chain / Supply Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.067	202405	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
3.3.026	202406	Agency Staffing Reports Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name; staff hired during a month; detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US+3	0	US+3					
4.1.002	202407	Billing Detail Provides itemized billing record for services rendered.	FE+2	7	FE+9		UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.			

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.2.005	202408	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+2	7	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.1	202409	Shipping Records This series provides a record of items that are mailed by the department via UPS, Federal Express, or another carrier. Records may be used for billing and/or tracking. These records include: printing and mailing shipping forms; parcel mailing order forms; and related correspondence.	1	0	1					
5.1.003	202410	Delivery Reports	1	1	2					
5.1.004	202411	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	0	US					
5.1.012	202412	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	0	US+3					
5.1.015	202413	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	0	1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2024 BOF / Supply Chain / Supply Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.2.014	202414	Inventory - Annual Physical Property, equipment, and supply verification.	FE+1	2	FE+3					
5.2.020	202415	Supply Usage Records This series is used to document supply usage and charges. This series may include but is not limited to: stock printouts, inventory reports, and related documentation and correspondence.	FE+1	0	FE+1					
5.2.021	202416	Surplus Property Sale Reports This records series consists of a list of surplus equipment which is advertised and consequently sold at public auction. The information may include but is not limited to an Agreement For Auctioneer Services, advertising documents, Terms And Conditions Of Sale, a financial report of money received for items sold at auction, related documentation and correspondence.	FE+3	0	FE+3					
5.3.005	202417	Packing Slips This series documents the receipt of equipment, supplies, other items, and services from vendors. The series includes: packing slips, shipping and container lists, and bills of lading.	AV	0	AV					
5.4.011	202418	Visitor Control Registers Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.	3	0	3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2026 BOF / Supply Chain / Mail Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	202601	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	0	2					
1.1.013	202602	Calendars, Appointment Books 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	0	CE+1	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2026 BOF / Supply Chain / Mail Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	202603	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.069	202604	<p>Reports - Activity</p> <p>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.</p>	1	0	1	<p>CAUTION: SEE item number 1.1.064.</p>				
1.1.070	202605	<p>Agency Rules, Policies, and Procedures - Final</p> <p>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.</p>	AC+3	0	AC+3	<p>O AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2026 BOF / Supply Chain / Mail Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.1.002	202606	Billing Detail Provides itemized billing record for services rendered.	FE+1	8	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				
4.6.002	202607	Reconciliations	FE+3	0	FE+3					
5.1	202608	Permits / Mail Services This records series consists of bulk mailing permits.	US+1	0	US+1	AC = After expiration of permit.				
5.1	202609	University Mailbox Records Rental Agreements For Postal Boxes. This records series may include but is not limited to: Application Forms, Renewal Notices, Closeout Notices, Receipts, Forwarding Information.	AC+4	0	AC+4	AC = Termination of agreement.				
5.1.015	202610	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	0	1					

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MO - Months

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US - Until Superseded

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	203201	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	3	3	6	O				
1.1.007	203202	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	0	4	O				
1.1.008	203203	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	0	2					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	203204	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.043	203205	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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Archival Codes (Field 8)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2032 BOF / EHS / Biological And Chemical Safety								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	203206	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.065	203207	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	203208	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2032 BOF / EHS / Biological And Chemical Safety								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.070	203209	Agency Rules, Policies, and Procedures - Asbestos This records series consists of asbestos awareness information and may include but not be limited to manuals, policies, procedures, or similar records and related correspondence.	AV	PM	PM	O	SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071. Retention is based on department policy when dealing with Asbestos materials.			
1.1.070	203210	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			
1.3.001	203211	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).			
1.3.002	203212	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2032 BOF / EHS / Biological And Chemical Safety								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.1.027	203213	Training and Educational Achievement Records (Individual) Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC	5	AC+5	AC = Termination of employment.				
5.1.010	203214	Licenses and Permits for Non-vehicles Does not include licenses and permits issued by an agency as part of its statutory responsibilities.	PM	0	PM	Retention is based on department policy when dealing with Asbestos materials.				
5.2.005	203215	Calibration Records (Equipment or Instrument)	10	0	10					
5.4	203216	Asbestos Records This series documents a building by building survey and plan to correct asbestos material hazards. This series may include but is not limited to: surveys, monitoring tests and reports, data forms, building plans, correction checklists, removal job records, and related documentation and correspondence.	3	PM	PM	25 TAC 295.62(a).				
5.4	203217	Chemical and Hazardous Waste Disposal Records This series documents the receipt, shipment, and disposal of chemical material or hazardous wastes on campus. This series includes but is not limited to: chemical and waste inspection forms; drum packing sheets; Uniform Hazardous Waste Manifest forms (EPA 8700); Certificates of Disposal from vendors; land disposal notification forms; waste disposal records; and related documentation and correspondence.	AV	PM	PM					

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2032 BOF / EHS / Biological And Chemical Safety								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.4	203218	Inspection Records - Biological And Chemical This series documents inspections done by Biological And Chemical Safety in the course of routine business, and is used by the institution to correct and analyze safety problems and to document compliance with regulations. This series may include but is not limited to: inspection sheets which show date of inspection, notation of violations, and suggested corrective measures, reports acknowledging compliance with regulations, authorizing signatures, and any related information, documentation and correspondence.	AC	3	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.				
5.4	203219	Employee Health Records This series documents the medical fitness and health of all University employees. This series may include but is not limited to: physician medical statement, health assessment, immunization records, exposure to hazardous conditions such as Class B and C carcinogenic compounds, asbestos, lead, excessive noise, related documentation and correspondence.	AC+30	0	AC+30	AC = After separation for records documenting persons contacting or removing hazardous materials. 29 CFR 1910.1020 (d)(1)(i)-(iii).				
5.4	203220	Select Agents and Toxins Records Records may include but are not limited to: inventories for select agents and toxins held in long-term storage. This includes: name and characteristics, quantity, date of acquisition and source, storage location, tracking of time of movement and by whom, which agent used, purpose of use, quantity used, and by whom. Records also must include date, sender, and recipient for intra-entity transfers. If destroyed, include quantity of toxin destroyed, date and by whom, a list of all individuals granted access approval from the Health and Human Services secretary or administrator, information about all entries into areas containing select agents (must include name of individual, name of escort, date and time), and written explanations of any discrepancies.	AC+3	0	AC+3	AC = After destroyed or removed from inventory. 42 CFR 73.17(c).				

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded I - Retain in Archives O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2033 BOF / EHS / Radiation Safety								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	203301	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	8	PM	PM	O	Retention is based on 25 TAC § 289.			
1.1.007	203302	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.	1	3	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 University 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.			
1.1.008	203303	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	0	2	O	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2033 BOF / EHS / Radiation Safety								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	203304	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	203305	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2033 BOF / EHS / Radiation Safety								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.067	203306	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	AV	PM	PM	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O Retention is based on 25 Texas Administrative Code §289				
1.1.070	203307	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
5.2.005	203308	Calibration Records (Equipment or Instrument)	10	0	10					
5.2.008	203309	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.	LA+3	0	LA+3					
5.2.010	203310	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2033 BOF / EHS / Radiation Safety								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.4	203311	Assessment Of External Radiation Exposure This records series may include printouts of individual radiation exposure records for those individuals that wear personal dosimeters.	AV	PM	PM	25 TAC §289.				
5.4	203312	Assessment Of Internal Radiation Exposure Records of bioassay uptake measurements and associated calculations to determine presence of internal contamination of radioactive material.	AV	PM	PM	25 TAC §289.				
5.4	203313	Brachytherapy Patient Monitoring This records series contains records of radiation area surveys performed on patients treated with radioactive materials in order to document compliance with state and federal regulations.	AV	PM	PM	25 TAC §289.				
5.4	203314	Contamination Survey Surveys completed by lab staff or radiation safety staff in regard to radioactive contamination levels in lab. Survey is completed after each use of radioactive material and on a monthly basis as required by Radiation Safety guidelines. This series may include but is not limited to: routine surveys, instrument calibration surveys, and package surveys.	AC+1	2	AC+3	AC = Date record is made. 25 TAC 289.202(nn)(1).				
5.4	203315	Incident Report - Radiation Safety Original records and documentation of the Radiation Safety Program's responses to incidents involving radioactive material and radiation producing machines.	3	PM	PM	25 TAC §289.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2033 BOF / EHS / Radiation Safety								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.4	203316	Licenses, Registration And Permits / Radiation Services This series is used to document the licensing and registration of the institution by federal, state, and local agencies to receive, use, store, dispose of, and ship radioactive materials and radiation producing machines. These records include but are not limited to: federal and state applications and certificates required by the Texas Department of Health Bureau of Radiation Control. This records series may also include related correspondence and documentation of regulatory agency inspections.	AV	PM	PM	25 TAC §289.				
5.4	203317	Radiation Safety Training This series documents employee participation in radiation safety training courses or programs. Records may include but are not limited to: course agendas, descriptions, and syllabi; course outlines and materials; enrollment and attendance records; training requests and authorizations; certificates of completion; and related documentation and correspondence.	5	25	30	25 TAC §289.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2033 BOF / EHS / Radiation Safety								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.4	203318	Radioactive Material Handling and Disposal Records This series is used to provide a record of the reception, handling, shipment and/disposal of radioactive material or radioactive hazardous wastes at the institution to comply with federal and state record keeping and reporting requirements. The series also provides the office with a record of past activity. Records may include but are not limited to: waste material pick up requests and tags, Radioactive Waste Drum Inventory forms (RS 102), Uniform Hazardous Waste Manifest forms (EPA 8700-22), Radiation Waste Shipment and Disposal Manifest forms (vendor form), Radiation Material Inventory sheets, Radiation Material Shipment Receipt Record forms (RS400), Waste Disposal Record cards, disposal site letters of arrival acknowledgment, Sewered Radioactive Material log sheets, and related correspondence.	AV	PM	PM	25 TAC §289.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2034 BOF / EHS / Occupational Safety And Fire Prevention								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	203401	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1.007	203402	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	0	4	O				
1.1.008	203403	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	0	2					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	203404	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.043	203405	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2034 BOF / EHS / Occupational Safety And Fire Prevention								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	203406	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	203407	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.065	203408	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	203409	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2034 BOF / EHS / Occupational Safety And Fire Prevention								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.070	203410	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			
5.4.002	203411	Evacuation Plans Plans for evacuation of agency facilities in cases of emergency.	US	0	US					
5.4.003	203412	Inspection Records Fire, safety, and other inspection records of agency facilities and equipment.	AC+3	0	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.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2035 BOF / EHS / Environmental Protection Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	203501	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	0	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 University 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.				
1.1.008	203502	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.040	203503	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2035 BOF / EHS / Environmental Protection Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.043	203504	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					
1.1.057	203505	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	203506	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.065	203507	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2035 BOF / EHS / Environmental Protection Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.067	203508	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	AV	PM	PM	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O. Retention is based on department policy.			
1.1.070	203509	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			
1.3.001	203510	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	AC+2	O	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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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2035 BOF / EHS / Environmental Protection Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.002	203511	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
5.4	203512	Chemical and Hazardous Waste Disposal Records This series documents the receipt, shipment, and disposal of chemical material or hazardous wastes on campus. This series includes but is not limited to: chemical and waste inspection forms; drum packing sheets; Uniform Hazardous Waste Manifest forms (EPA 8700); Certificates of Disposal from vendors; land disposal notification forms; waste disposal records; and related documentation and correspondence.	6	PM	PM					
5.4	203513	Environmental Regulations Records This series documents institutional compliance with environmental laws and guidelines of federal, state, or local governments. These records include communications with the Regional Air Pollution Authority (RAPA) which is under the jurisdiction of the Environmental Protection Agency (EPA) of the federal government and also the state Department of Environmental Quality (DEQ). This series may include but is not limited to: Title V Air Discharge Permits, Air Quality Reports, Waste Water Discharge Permit Applications, Waste Water Discharge Permits, Water Quality Reports, Waste Water Discharge Records, Notices of Violation, Notices of Non-compliance, and related documentation and correspondence.	AV	PM	PM	40 CFR §262.40.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2035 BOF / EHS / Environmental Protection Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.4	203514	Radioactive Material Handling and Disposal Records This series is used to provide a record of the reception, handling, shipment and/disposal of radioactive material or radioactive hazardous wastes at the institution to comply with federal and state record keeping and reporting requirements. The series also provides the office with a record of past activity. Records may include but are not limited to: waste material pick up requests and tags, Radioactive Waste Drum Inventory forms (RS 102), Uniform Hazardous Waste Manifest forms (EPA 8700-22), Radiation Waste Shipment and Disposal Manifest forms (vendor form), Radiation Material Inventory sheets, Radiation Material Shipment Receipt Record forms (RS400), Waste Disposal Record cards, disposal site letters of arrival acknowledgment, Sewered Radioactive Material log sheets, and related correspondence.	AV	PM	PM	25 TAC §289.				
5.4.003	203515	Inspection Records Fire, safety, and other inspection records of agency facilities and equipment.	AC+1	2	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.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2036 Quality And Healthcare Safety / Risk Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	203601	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.013	203602	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2036 Quality And Healthcare Safety / Risk Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	203603	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.065	203604	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.070	203605	<p>Agency Rules, Policies, and Procedures - Final</p> <p>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.</p>	AC+3	0	AC+3	<p>O AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2036 Quality And Healthcare Safety / Risk Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.3.030	203606	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	0	US+2	CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.				
3.4.006	203607	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	203608	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
5.4	203609	Unusual Event Reports / Adults This records documents investigations and summaries of an unusual or adverse event involving an adult patient, staff, or visitor that does not result in a claim or lawsuit. The records series may include but not be limited to: reports documenting unusual or adverse event occurrence, intake sheet, investigative notes, participant narratives, summary timeline of medical record, other supporting documentation or related correspondence.	3	0	3					

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 2036 Quality And Healthcare Safety / Risk Management

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number
			Agency	Storage	Total			
5.4	203610	Unusual Event Reports / Minors This records documents investigations and summaries of an unusual or adverse event involving a minor patient or visitor that does not result in a claim or lawsuit. The records series may include but is not limited to: reports documenting unusual or adverse event occurrence, intake sheet, investigative notes, participant narratives, summary timeline of medical record, and other supporting documentation or related correspondence.	AC+3	0	AC+3	AC = Minor's 18th birthday.		
	203611	Medical Device Recall Notices And Responses Food and Drug Administration (FDA), Safety Medical Device Act (SMDA) and manufacturer recalls on all medical, food and drug devices. This records series may include but is not limited to, reportable occurrences on devices, recalls through the manufacturer and responses by UTMB departments.	1	14	15	CAUTION: Retention requirement is 15 years or two years after the expected life of the device, whichever is longer. 21 CFR 806.20(c) and 21 CFR 821.60.		

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2037 HR / Employee Injury And Illness Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.008	203701	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010. AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.043	203702	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					
1.1.057	203703	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2037 HR / Employee Injury And Illness Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.067	203704	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O				
1.1.070	203705	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O				
4.5.002	203706	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3					
5.4	203707	Case Management Files This records series tracks and monitors days away from work for employee/worker injuries that occur on the job and as a direct result of the duties assigned to the specific job position. Records may include but are not limited to: Claim Referral Form, physician's notes, medical case management report, and related correspondence.	CE+5	0	CE+5					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2037 HR / Employee Injury And Illness Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.4	203708	Temporary Modified Duty Records This records series documents injured workers, who have been released to perform work with limitations, back to the workplace. Records may include but are not limited to: request for temporary job modification, physicians notes, job description, modified duty work assignments, and related correspondence. These records are not personnel records and must be kept physically separate from employee personnel records.	CE+5	0	CE+5	IHOP 3.8.5.				
5.4.001	203709	Accident Reports and Associated Documentation / Exposures Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Workers' Compensation Commission or its predecessors or maintained internally on accident frequency.	CE+3	27	CE+30	29 CFR 1904.33. The Texas Department of Insurance retains copies of the reports submitted to it for 50 years. Retention is based on American College of Occupational & Environmental Medicine.				
5.4.001	203710	Accident Reports and Associated Documentation / Non Exposures Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Workers' Compensation Commission or its predecessors or maintained internally on accident frequency.	CE+2	3	CE+5	29 CFR 1904.33. The Texas Department of Insurance retains copies of the reports submitted to it for 50 years..				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2038 University Police								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	203801	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	203802	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1	203803	Release / Liability Waiver This series documents the release of the institution or administrative unit from liability related to various activities involving students, faculty, or staff. Activities may include events such as sponsored field trips and physical education classes. Records include but are not limited to hold harmless, waiver, and release forms, related documentation, and correspondence. Information includes a statement from the participant that he/she assumes personal responsibility and holds the institution or administrative unit blameless for any accident or injury that may occur while participating, information about college insurance, description of the activity, and signatures of the participant.	AC+4	0	AC+4		AC = After release.			

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	203804	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	0	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 University 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.				
1.1.008	203805	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.010	203806	Directives Any document that officially initiates, rescinds, or amends general office procedures.	US+1	0	US+1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2038 University Police								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	203807	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.023	203808	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.				
1.1.043	203809	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	203810	<p>Transitory Information</p> <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; 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	0	AC	AC = Purpose of record has been fulfilled.				
1.1.063	203811	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	2	0	2	Retention is based on department policy.				
1.1.067	203812	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	7	0	7	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p> <p>Retention is based on department policy and the Clery Act requirements as listed in the Handbook for Campus Safety and Security Reporting.</p>				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	203813	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.1.027	203814	Training and Educational Achievement Records (Individual) Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC+5	0	AC+5	AC = Termination of employment.				
3.3.020	203815	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.3.030	203816	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	0	US+2	CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.				
3.4.006	203817	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+1	3	FE+4	40 TAC 815.106(i).				
4.5.002	203818	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.2.019	203819	Service Orders Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks.	1	0	1					
5.3	203820	Procurement Card Records A record of purchases made with a University of Texas Medical Branch Procurement Card. This records series may include but is not limited to: Procurement Card Transaction Log, original charge slip, sales receipt, packing slip, invoice, or any other information related to the purchase.	FE+3	0	FE+3					
5.4.011	203821	Visitor Control Registers Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.	1	2	3					
5.4.012	203822	Security Access Records Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency facilities, equipment, or automated systems.	AC+2	0	AC+2	O AC = Until superseded, date of expiration, or date of termination, whichever sooner.				
	203823	Arrest Records This records series includes documentation and evidence for all cases where an arrest has been made.	2	PM	PM					
	203824	Building Access Control Records / High Security Buildings This records series documents access to high security buildings. This series may include but is not limited to access lists, sign in sheets, logs, registers, instruction books or emergency contact records.	AC+10	0	AC+10	AC = Until superseded, date of expiration, date of termination or whichever is sooner.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	203825	Building Security Survey Reports Periodic reports of surveys of component facilities conducted by the University Police and sent to Building Coordinators. Reports are used by departments to update/enhance security measures for their facilities.	AV	0	AV					
	203826	Building Unlocked Door Reports Periodic reports of unlocked doors conducted by the University Police and sent to Building Coordinators.	AV	0	AV					
	203827	Complaint Records / Police Complaints filled by employees or the public against police officers for violation of law, regulation or code of conduct. This series may include but is not limited to: written complaints, internal investigation reports, sworn statements and affidavits, photos, value of evidence to prove or disprove the complaint, applicable disciplinary reports and legal opinions and advise.	PM	0	PM	Texas Government Code § 614.022.				
	203828	Equipment and Weapon Checkout Logs This records series documents the assignment, authorization, issuance and/or use of University-owned equipment or weapons to employees.	AC+3	0	AC+3	AC = After return or reassignment.				
	203829	Juvenile Case Records / Referred To Court This records series documents juvenile case records that have been referred to juvenile court. This series may include but is not limited to: offense reports, warning notices, fingerprints, photographs, and other records relating to the investigation of an offense committed by a juvenile and the taking of a juvenile into custody in those instances in which a warning notice has been issued and the case has been referred to juvenile court.	AC+25	0	AC+25	AC = Date of the offense. Retention Note: Records can be destroyed prior to retention period on order of destruction or expungement granted by the court.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
	203836	Police Offense Reports / No Arrests / Felonies (Does Not Include Murder, Manslaughter Or Sexual Assault) Documents offenses, except murder, manslaughter or sexual assault that occur on the University campus that violate state laws and regulations. This records series may include but is not limited to case number, type of report, date, time, complainant or victim, address and details of report.	2	8	10					
	203837	Police Offense Reports / No Arrests / Felonies (Murder, Manslaughter Or Sexual Assault) Documents offenses of murder, manslaughter or sexual assault that occur on the University campus that violate state laws and regulations. This records series may include but is not limited to case number, type of report, date, time, complainant or victim, address and details of report.	PM	0	PM					
	203838	Recordings Of Police Communications And Actions These records document calls for emergency assistance and/or recordings of radio communications and/or police activities.	30 DAYS	0	30 DAYS	CAUTION: If not required to support known investigations or litigation, reuse or destroy in 30 days. The disposal of recordings need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010).				
	203839	Surveillance Video This records series consists of surveillance video tapes created to monitor activities occurring within and outside of institutional buildings.	30 DAYS	0	30 DAYS	CAUTION: If not required to support known investigations or litigation, reuse or destroy in 30 days. The disposal of surveillance video need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010).				

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			Agency	Storage	Total	9. Remarks				
	203840	Surveillance Video Tapes / Police Vehicle This records series consists of audio and video surveillance tapes used to monitor activities occurring inside and outside of police vehicles.	90 DAYS	0	90 DAYS	<p>If not required to support known investigations or litigation, reuse or destroy in 90 days.</p> <p>The disposal of surveillance video need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010).</p> <p>Texas Code of Criminal Procedures, Articles 2.132 through 2.138.</p>				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2039 HR / Employee Health Promotions								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.008	203901	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			
1.1.013	203902	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.024	203903	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.			
1.1.040	203904	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	203905	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.3.001	203906	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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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			Agency	Storage	Total	9. Remarks				
1.3.002	203907	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.3.020	203908	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
4.2.006	203909	General Journal Vouchers A record of budget entries and transfers of funds between an agency's budgets.	FE+9	0	FE+9		UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.			
4.5.002	203910	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3			Monthly reconciliation and approval of expenses required by internal audit.		
5.1.014	203911	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	0	US+1					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	204001	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1	204002	Reports And Studies - Special Activity This series documents the activities of a University department. Examples may include the completion of surveys and questionnaires, compilation of special studies for professional or academic associations, and special mailings. This series may include but is not limited to: arrangements documentation; working papers; questionnaires; survey forms; study designs; reports; and related documentation and correspondence.	1	9	10	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention.			
1.1.007	204003	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	0	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 University Archives when these records have met their retention periods. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2040 Research Services And Office Of Sponsored Programs / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	204004	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.013	204005	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.043	204006	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2040 Research Services And Office Of Sponsored Programs / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	204007	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	204008	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.065	204009	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	204010	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2040 Research Services And Office Of Sponsored Programs / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	204011	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
1.3.001	204012	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	204013	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.3	204014	Time And Effort Report A record certifying the percentage of time worked on a sponsored project during a particular reporting period.	FE+1	8	FE+9					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2040 Research Services And Office Of Sponsored Programs / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.5.002	204015	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.7	204016	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC	2	AC+2	AC = After notification.				
4.7	204017	Grant And Contract Proposals Log Documents receipt, approval, and assignment of grants, contracts, and agreements.	FE+3	0	FE+3					
4.7	204018	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+2	13	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				

Retention Codes (Field 7)

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Archival Codes (Field 8)

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O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2040 Research Services And Office Of Sponsored Programs / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.7	204019	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+2	2	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
4.7.008	204020	Federal Grant Records / Proposals These records include proposal applications and proposals by faculty and staff for extramural funding. May include but is not limited to supporting documentation, proposals.	AC+3	0	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 federal funding agency. Agencies must ensure that records are retained for the appropriate retention period.				
5.1.014	204021	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	0	US+1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2041 Research Services And Office Of Sponsored Programs / Committees								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	204101	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	3	3	6	O				
1.1.007	204102	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	0	4	O				
1.1.008	204103	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	0	2					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2041 Research Services And Office Of Sponsored Programs / Committees								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	204104	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
	204105	<p>Research Protocol / Animals</p> <p>This records series includes animal protocols for research studies that are submitted for committee approval.</p>	AC+3	0	AC+3	<p>AC = Duration of the study. This records series contains confidential information pertaining to the use of animals in medical research.</p> <p>9 CFR §2.36.</p>				
	204106	<p>Research Protocols / Human</p> <p>This records series includes human protocols for research studies that are submitted for committee approval.</p>	AC+1	9	AC+10	<p>AC = Duration of the study. This records series contains confidential information pertaining to the use of humans in medical research.</p>				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2046 OLRA / Records Management Compliance								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
1.1	204601	Drafts & Working Papers <small>This series contains documents, correspondence, reports, memoranda, and other materials in preliminary or developmental form before their iteration as a final product.</small>	US	0	US					
1.1	204602	Events Administration Records <small>This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.</small>	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.			
1.1	204603	Professional Committee Working Files <small>Internal and external professional committees and work groups. Includes notes, work papers, reference materials, research, committee appointments, charters, and any other supporting documentation.</small>	AC	0	AC		AC = Termination of service on committee, disbanding of committee, or records of committee no longer administratively valuable to the university. CAUTION: If the committee is funded by a grant, records must be retained in accordance with individual guidelines of the grant or cooperative agreement.			
1.1	204604	Projects <small>This series documents the activities of an office which are performed in addition to its regular duties. This series may include completed surveys and questionnaires, working papers for the project, questionnaire and survey forms; and other related correspondence.</small>	AC+3	0	AC+3	O	AC = After completion.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2046 OLRA / Records Management Compliance								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	204605	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	0	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 University 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.				
1.1.008	204606	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2046 OLRA / Records Management Compliance								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	204607	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.038	204608	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3	AC = After completion of survey. SEE item number 1.1.067 for summary reports compiled from customer surveys.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2046 OLRA / Records Management Compliance								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	204609	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	204610	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.065	204611	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	204612	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 2046 OLRA / Records Management Compliance

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number
			Agency	Storage	Total	9. Remarks		
1.1.069	204613	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	0	1	CAUTION: SEE item number 1.1.064.		
1.1.070	204614	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.		
1.2	204615	Records Retrieval Requests Requests by UTMB offices for retrieval of boxes/files stored at the University Records Center.	AC+2	0	AC+2	AC = After return of all records on retrieval request.		
1.2.003	204616	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	0	AC+1	AC = Discontinuance of use of form.		
1.2.005	204617	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+3	0	US+3	Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission. Retention is based on department policy.		
1.2.006	204618	Records Transmittal Forms Forms indicate records transferred to the University Records Center for storage or a transfer of legal custody.	AC+2	0	AC+2	AC = Date of authorization for destruction, permanent transfer from storage, or transfer to the University Archives by the University Records Management Officer.		

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2046 OLRA / Records Management Compliance								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total					
1.2.008	204619	Request for Authority to Dispose of State Records (RMD 102) Agency copy.	FE+3	0	FE+3	Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.				
1.2.010	204620	Records Disposition Logs Logs or similar records listing records destroyed or transferred to the University Archives showing records series title, dates of records, and date destroyed or transferred.	10	0	10					
1.2.011	204621	Records Center Storage Approval Forms Provides information regarding the records series authorized for storage at the University Records Center.	US	0	US	Retain until superseded or deactivated.				
1.2.012	204622	Records Inventory Worksheets	US	0	US					
1.3.001	204623	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2046 OLRA / Records Management Compliance								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.002	204624	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
2.1.007	204625	Software Programs Automated software applications and operating system files including job control language, program listing/source code, etc.	AC	0	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.				
2.2.016	204626	Software Registrations, Warranties And License Agreements	LA+3	0	LA+3					
3.3.030	204627	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	0	US+2	CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.				
3.4.007	204628	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
5.1.004	204629	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2049 BOF / Supply Chain / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	204901	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	0	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 University 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.				
1.1.008	204902	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2049 BOF / Supply Chain / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	204903	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.057	204904	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	204905	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.1	204906	Employee Authorization Form This records series documents the administrative approval process for new positions within a department. This series may contain but is not limited to information about the hiring manager; position, funding, budget information, justification for the position and approval signatures.	FE+2	0	FE+2					
4.1	204907	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+7	0	FE+7					
4.1.002	204908	Billing Detail Provides itemized billing record for services rendered.	FE+2	7	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2055 BOF / Utilities Sustainability / Fleet Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	205501	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	0	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 University 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.				
1.1.008	205502	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2055 BOF / Utilities Sustainability / Fleet Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	205503	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
4.1.002	205504	Billing Detail Provides itemized billing record for services rendered.	FE+1	8	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.1.001	205505	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+6	0	AC+6	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2).				
5.1.013	205506	Insurance Policies For vehicles, equipment, etc.	AC+4	0	AC+4	AC = Expiration or termination of the policy according to its terms.				
5.3	205507	Procurement Card Records A record of purchases made with a University of Texas Medical Branch Procurement Card. This records series may include but is not limited to: Procurement Card Transaction Log, original charge slip, sales receipt, packing slip, invoice, or any other information related to the purchase.	FE+3	0	FE+3					
5.4.009	205508	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	205509	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2055 BOF / Utilities Sustainability / Fleet Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.6	205510	Vehicle Accident Records This series documents accidents involving vehicles owned by the institution. This series may include but is not limited to: vehicle accident reports, vehicle accident claims, damage or loss of state property reports, and related documentation and correspondence. Information may include: vehicle type and identification number, name of party using the vehicle, notation of condition before and after use, and authorizing signatures.	2	2	4					
5.6.003	205511	Inspection Repair and Maintenance Records - Vehicles	LA+1	0	LA+1					
5.6.004	205512	License and Driving Record Checks	AC	0	AC	AC = Until superseded or until termination of employment.				
5.6.005	205513	Vehicle Use Reports Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	FE+1	2	FE+3					
5.6.007	205514	Vehicle Titles and Registrations	AC	0	AC	AC = Sale or transfer of vehicle ownership.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2056 BOF / Auxiliary Enterprises								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	205604	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	0	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 University 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.				
1.1.008	205605	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2056 BOF / Auxiliary Enterprises								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	205606	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.024	205607	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	205608	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.065	205609	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.				
1.1.067	205610	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.069	205611	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	0	1	CAUTION: SEE item number 1.1.064.				
1.1.070	205612	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.1.027	205613	Training and Educational Achievement Records (Individual) Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC+5	0	AC+5	AC = Termination of employment.				
3.3.020	205614	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.4.006	205615	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	205616	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2056 BOF / Auxiliary Enterprises								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.1	205617	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+7	0	FE+7					
4.1.001	205618	Accounts Payable Information This series documents an agency's expenditures and purchases. Records may include but are not limited to: departmental purchase orders, contract release orders, balance sheets, bills, invoices, invoice vouchers, journal voucher/entry forms, and related documentation and correspondence.	FE+1	8	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.1.002	205619	Billing Detail Provides itemized billing record for services rendered.	FE+1	8	FE+9					
4.2.002	205620	Cash Receipts Includes receipts for fees (permits, licenses, renewals, etc.)	FE	3	FE+3	CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				

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			Agency	Storage	Total				9. Remarks	
4.2.003	205621	Daily Cash Receipts Logs	FE+3	0	FE+3					
4.5.002	205622	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+1	2	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.7	205623	Information Request Records This record series consists of statistical and operational responses to inquiries from internal departments and external organizations seeking a variety of information. Records may include but are not limited to: survey material, data references, internal studies with supporting information, job information, benchmarking data, other records related to the study of internal operations, related correspondence, and the final computation of the data into a report.	FE+3	0	FE+3					
5.1	205624	Housing / Tenant Records This series provides a record of occupancy in all institution administered housing. This series may include but is not limited to: reservation/housing agreements, tenant rent and deposit receipts, tenant discrepancy memos, rent delinquent notices, vacating notices; and related documentation and correspondence.	AC+4	0	AC+4	AC = After expiration of contract.				
5.1.004	205625	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				

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5.1.012	205626	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	0	US+3					
5.1.014	205627	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	0	US+1					
5.2.007	205628	Damage Reports Reports of damage to state property.	FE+3	0	FE+3					
5.2.008	205629	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.	LA+3	0	LA+3					
5.2.014	205630	Inventory - Annual Physical Property, equipment, and supply verification.	FE+3	0	FE+3					
5.2.015	205631	Inventory, Notices of Equipment Removed from This series documents changes in state owned property, requests to declare items surplus, salvage, or scrap. Records may include but are not limited to Surplus Equipment Worksheet, related documentation, and correspondence.	FE+3	0	FE+3					

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Archival Codes (Field 8)

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5.3	205632	Procurement Card Records A record of purchases made with a University of Texas Medical Branch Procurement Card. This records series may include but is not limited to: Procurement Card Transaction Log, original charge slip, sales receipt, packing slip, invoice, or any other information related to the purchase.	FE+3	0	FE+3					
5.6.009	205633	Parking Permits or Assignments	AC	0	AC	AC = Until superseded or obsolete.				
	205634	Security Clearance Forms - Approved This records series consists of security checks for potential entrance into a secured environment and/or building. The checks may include a background and driver's license screening, reference check, and verification of academic standing. Supporting documentation may include fingerprint cards, copy of the driver's license, copy of the transcript release form, returned form reference letters, and other necessary information.	2	0	2					

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			Agency	Storage	Total					
1.1	206401	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+1	5	FE+6	O	ARCHIVES NOTE: Maintain for FE+6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Retention is based on department policy.			
1.1.007	206402	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	0	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 University 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.			
1.1.008	206403	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

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			Agency	Storage	Total	9. Remarks				
1.1.013	206404	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.024	206405	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.				
1.1.038	206406	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3	AC = After completion of survey. SEE item number 1.1.067 for summary reports compiled from customer surveys.				
1.1.043	206407	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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1.1.057	206408	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.065	206409	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				

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1.3.001	206410	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	206411	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
4.5.002	206412	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				

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4.7	206413	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+2	2	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.1.001	206414	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+6	0	AC+6	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2).				
5.1.004	206415	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.1.014	206416	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	0	US+1					

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1.1	206501	Projects This series documents the activities of an office which are performed in addition to its regular duties. This series may include completed surveys and questionnaires, working papers for the project, questionnaire and survey forms; and other related correspondence.	AC+1	2	AC+3	O	AC = After completion.			
1.1	206502	Subpoenas Legal document requiring recipient to appear in court to testify, or to produce records to be used in litigation.	FE+3	0	FE+3		Some information may be exempt from public disclosure.			
1.1.002	206503	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	0	AC+7		AC = Publication or release of final audit findings. The record copy of any audit performed by the State Auditor's Office is retained permanently by UTMB's Internal Audit Services Consulting And Investigation.			
1.1.004	206504	Legislative Appropriation Requests Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC+6	0	AC+6	I	AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.			

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1.1.007	206505	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	0	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 University 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.				
1.1.008	206506	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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1.1.013	206507	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	206508	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

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1.1.063	206509	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.070	206510	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			
2.1.010	206511	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	0	AC		AC = All audit requirements have been met.			
3.2	206512	Individual Taxpayer Identification Number (ITIN) File This records series includes application forms to the Internal Revenue Service for acquiring an ITIN number for non-resident alien visitors. Records may include but not be limited to: copies of passport, INS Form I-94, Visa Stamp and/or other evidence of foreign residence; Completed IRS Form W-7; IRS Form W-8 and IRS Form 8233; and photocopy of IRS Form 9844 (ITIN card).	3	0	3		Section 301.6109-1(d)(3)(IV) Income Tax Regulations And Revenue Procedure 96-52.			
3.2.001	206513	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	5	AC+5		AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever is sooner.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2065 Finance / Payroll Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.2.002	206514	Employee Earnings Records Documentation of employee earnings. Records may include but are not limited to: payroll earnings registers, alpha register, check distribution, check register, employee name sequence, daily transactions, checks issued for the month, earning statement, canceled checks and online adjustments, monthly detail of close-out, monthly adjustment alphabetic roster	FE+1	3	FE+4	40 TAC 815.106(i).				
3.2.003	206515	Federal Tax Records This series provides a summary record of data reported on the annual wage and tax statements for agency employees, corrections to these statements, and a record of transmittal to the federal government. Records include print-outs from the agency by year in social security number order which include names, social security numbers, tax subject earnings, other data required by law, summary transmittal forms, and FICA records. Forms may include IRS forms W-2, W-2C, W-3, W-3C and 990-T.	AC	6	AC+6	AC = Tax due date, date claim is filed, or date tax is paid whichever is later. 26 CFR 31.6001-1(e)(2). IRC Section 6531 Title 26- Internal Revenue Code.				
3.2.005	206516	W-4 Forms Employer's copy of "Employees' Withholding Exemption Certificate."	AC+4	0	AC+4	AC = Until superseded, obsolete, or upon separation of employee. 26 CFR 31.6001-1 (e)(2).				
3.2.008	206517	Direct Deposit Application/Authorizations Applications and authorizations from employees giving permission to the agency to directly deposit payroll checks into a specified bank account.	US	0	US					
3.3.010	206518	Labor Statistics Reports Reports providing statistical information on labor force.	3	0	3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2065 Finance / Payroll Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
3.3.022	206519	Texas Workforce Commission (TWC) Reports Reports to the agency from TWC or its predecessor pertaining to employees.	3	0	3					
3.4.006	206520	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+1	3	FE+4	40 TAC 815.106(i).				
3.4.007	206521	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.1.002	206522	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				
4.5.002	206523	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+1	2	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded		Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2065 Finance / Payroll Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.5.005	206524	External Fiscal Reports Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE+1	2	FE+3					
4.5.006	206525	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3					
4.7.012	206526	Signature Authorizations Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	US+FE+3	0	US+FE+3					
5.1.015	206527	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	0	1					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2068 HR / Employee Assistance Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	206801	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	0	2					
1.1.013	206802	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.043	206803	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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CE - Calendar Year End FE - Fiscal Year End	PM - Permanent US - Until Superseded
LA - Life Of Asset MO - Months	



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2068 HR / Employee Assistance Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	206804	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.065	206805	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	206806	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2068 HR / Employee Assistance Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.070	206807	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			
1.3.001	206808	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).			
1.3.002	206809	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2068 HR / Employee Assistance Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
3.1	206810	Client Counseling Records / Professional This records series documents employee assistance counseling provided by the University, does not include Psychiatric or Psychological services. This records series may include but is not limited to: Intake forms, assessment forms, consent and release of information forms, supervisor referral forms, emails and follow up notes, sometimes includes a copy of drug test results (breath and urine) and alcohol testing results.	AC+5	0	AC+5	AC = Termination of counseling. If the client is a minor, the record retention period is extended until three years after the minor reaches the age of majority. Texas State Board of Examiners of Professional Counselors about the profession - Code of Ethics §681.41 General Ethical Requirements.				
4.1.002	206811	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				
4.5.002	206812	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2068 HR / Employee Assistance Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
5.1.001	206813	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+6	0	AC+6	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2).				
5.1.004	206814	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2069 HR / Employee Leave Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	206901	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	0	2					
1.1.013	206902	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2069 HR / Employee Leave Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	206903	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.065	206904	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.				
1.1.067	206905	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2069 HR / Employee Leave Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	206906	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.4	206907	Family Medical Leave Case Files This series documents requests for leave and granted leave by employees under provisions of the Federal Family and Medical Leave Act (FMLA) and the UTMB Family Medical Leave Policy. Records may include but are not limited to: employee leave request forms; notices to employees of leaves granted or rejected; Certification of Health Care Providers for the employee or a family member; employee backup information and leave history records; employee time records; Continuation of Health and Dental Insurance Benefits Memorandum; and related documentation and correspondence.	FE+1	2	FE+3	29 CFR 825.500.				
3.4	206908	Leave Management Case Files This records series documents leave that has been granted to eligible employees. Records may include but are not limited to: Sick Leave Pool Case Files that document who has been granted pool leave and the number of hours the individual has received; and Leave of Absence Case Files.	FE+1	2	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2069 HR / Employee Leave Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.4	206909	Military Leave Case Files This records series documents paid military leave to employees who are called to active duty, are members of the state military forces or a reserve component of the armed forces. Records may include but are not limited to: military orders, Personnel Action Forms (placing them on military leave), records of state service credit; and related documentation and correspondence.	FE+3	0	FE+3	Texas Government Code 431.0825, 431.005, 613.002-613.006, 658.008, 661.903-661.9041. IHOP Policy 3.9.2.				
3.4	206910	Parental Leave Case Files This records series documents employee leave for adoption or foster care. Records may include but are not limited to: legal documents, foster parent documentation, evaluation and reviews, child advocacy information, and documentation gathered in support of adoption or foster care of a child or adult. Includes related correspondence from Child Protective Services (CPS) and Adult Protective Services (APS).	FE+3	0	FE+3	TGC 661.906 and 661.913 IHOP Policy 3.9.10				
4.5.002	206911	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
5.1.014	206912	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	0	US+1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2070 AS / Office Of Institutional Effectiveness								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	207001	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	207002	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1	207003	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1	207004	Projects This series documents the activities of an office which are performed in addition to its regular duties. This series may include completed surveys and questionnaires, working papers for the project, questionnaire and survey forms; and other related correspondence.	AC+1	2	AC+3	O	AC = After completion.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2070 AS / Office Of Institutional Effectiveness								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	207005	Reports And Studies - Special Activity This series documents the activities of a University department. Examples may include the completion of surveys and questionnaires, compilation of special studies for professional or academic associations, and special mailings. This series may include but is not limited to: arrangements documentation; working papers; questionnaires; survey forms; study designs; reports; and related documentation and correspondence.	10	0	10	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention.			
1.1.007	207006	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	0	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 University 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.			
1.1.008	207007	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

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			Agency	Storage	Total	9. Remarks				
1.1.013	207008	Calendars, Appointment Books 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	0	CE+1	O				
1.1.038	207009	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3					
1.1.040	207010	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	207011	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	207012	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.064	207013	<p>Agency Performance Measures Documentation</p> <p>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.</p>	FE+3	0	FE+3	<p>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.</p>				

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			Agency	Storage	Total	9. Remarks				
1.1.067	207014	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
1.1.068	207015	Reports on Performance Measures Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC+6	0	AC+6		AC = September 1 of odd-numbered calendar years.			
1.1.070	207016	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			
3.4.006	207017	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4		40 TAC 815.106(i).			
3.4.007	207018	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.6.002	207019	Reconciliations	FE+3	0	FE+3					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	207301	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	0	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 University 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.				
1.1.008	207302	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
1.1.013	207303	Calendars, Appointment Books 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	0	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 University 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>			
1.1.040	207304	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	<p>AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents).</p> <p>Departments below senior leadership: Until superseded or no longer needed for reference.</p>			

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			Agency	Storage	Total	9. Remarks				
1.1.057	207305	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	207306	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					

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			Agency	Storage	Total	9. Remarks				
1.3.001	207307	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	207308	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.4.006	207309	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+1	3	FE+4	40 TAC 815.106(i).				
3.4.007	207310	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

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			Agency	Storage	Total	9. Remarks				
4.5.002	207311	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.7	207312	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				

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	207313	Student Health and Counseling Records This series documents all students who are provided health, counseling, psychological, and psychiatric services. Clinicians provide treatment concerning health issues, personal problems, academic concerns, and career concerns. The psychiatric consultant provides psychiatric care to some student clients. Records may include but are not limited to: extensive notes made by providers concerning the assessment, diagnosis, treatment and contacts (written, telephone, or in person) with each client, immunization records, testing results, referral letters, release of information agreements, letters to agencies or others concerning the clients, and related documentation.	AC+7	0	AC+7	AC = Graduation or date of last attendance. 22 TAC 465.22(d)2 and 22 TAC 681.41(r).				

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			Agency	Storage	Total					
1.1	207401	Compliance / Reported Allegations, Investigations And Reviews US Federal Sentencing Guidelines mandates requirements for an effective compliance program, including a mechanism to report allegations of wrong doing, investigations of reported allegations and conducting assurance activities. Documents may include but are not limited to allegations reported to the Fraud, Abuse and Privacy hotline, assurance activity documentation, supporting documentation from the Institutional Compliance review, final report and related correspondence.	FE+10	0	FE+10		31 USC § 3731 (b) - False claims. HIPPA Part 164.530(J)(2).			
1.1	207402	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1.007	207403	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	0	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 University Archives when these records have met their retention periods. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.			

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			Agency	Storage	Total					
1.1.008	207404	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			
1.1.013	207405	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.023	207406	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I	Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.			
1.1.040	207407	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			

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			Agency	Storage	Total				9. Remarks	
1.1.056	207408	ADA (Americans with Disabilities Act) Documentation Self evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act.	3	0	3	28 CFR 35.105(c).				
1.1.057	207409	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	207410	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.065	207411	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2074 HR / Employee Relations And Corporate								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.067	207412	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O				
1.1.071	207413	Agency Rules, Policies, and Procedures-Working Files Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O				
3.1	207414	People Planning and Resourcing This series documents the development of university departments' people plans appropriate for specified department operations, incorporating the University and the department's high-level strategy, its people demand plus proposed action plans to address any significant discrepancies. This series may include but is not limited to: Internal People Planning Tool, Performance Improvement Plan, and related documentation and correspondence.	FE+3	0	FE+3					
3.1	207415	Reduction In Force Administration Records This records series documents policies and procedures administered by the institution's personnel office with regard to reduction in force. Records may include but are not limited to: position eliminations information; employee assistance information; layoff lists; Reduction In Force Policy, and related documentation and correspondence.	AC+3	0	AC+3	AC = Separation date.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.1.006	207416	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	0	AC+3	AC = Termination of counseling.				
3.1.018	207417	Grievance Records Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC+2	0	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.				
3.2.007	207418	Unemployment Compensation Records	AC+5	0	AC+5					
3.3.001	207419	Affirmative Action Plans Affirmative action plans for both regular employees and apprenticeship programs.	5	0	5	29 CFR 30.8(e) for apprenticeship plans.				
3.3.030	207420	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	0	US+2	CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.				
3.3.031	207421	EEO Reports and Supporting Documentation Includes documentation used to complete EEO reports.	3	0	3	29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50.				

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			Agency	Storage	Total	9. Remarks				
4.5.002	207422	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
	207423	Services to Students with Disabilities (SSD) Records This series documents student participation in the Services to Students with Disabilities Program. Records may include but are not limited to: health professional evaluation reports, recommendations for student applicants, high school transcripts and academic work-sheets, autobiographical essays, copies of applications for admission, copies of notices of admission, special admissions applications checklists, questionnaires, physicians' statements and letters of recommendation, counseling interview notes and referrals, and related documentation and correspondence.	AC+5	0	AC+5	AC = After last contact. Some records may be exempt from disclosure per the Americans with Disabilities Act.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	207501	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O				
1.1	207502	Films, Videotapes, and Sound Recordings This series provides visual and/or aural documentation of institutional activities and events including students, faculty, and staff with significant relevance to either the institution's or individual unit's function and mission.	AV	0	AV	O				
1.1	207503	Photographs And Negatives - Historically Significant Documents the collection of photographs or negatives created by or for an agency. Includes events that document the agency's organization, special ceremonies, occasions, events and facilities. May include commercially available material.	AV	0	AV	I				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	207504	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	0	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 University 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.				
1.1.008	207505	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	207506	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.040	207507	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	207508	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.067	207509	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				
4.7	207510	<p>Grant And Contract Proposals (Not Awarded)</p> <p>This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.</p>	AC+2	0	AC+2	<p>AC = After notification.</p>				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.7	207511	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
	207512	Scholarships Awarded by Department / History Records A record of a departmentally administered scholarship program (not administered by University Financial Aid Office). May include documentation of the establishment of the fund (administrative requirements for the scholarship, donations received, copies of wills, etc.), correspondence regarding the scholarship program, list of recipients, etc.	AC+6	0	AC+6	O AC = After termination of program.				
	207513	Student Organization Administrative Records / Student Sponsored This series documents the history, development, and policies of student sponsored organizations. Records may include but are not limited to: registration forms, constitutions and bylaws, and risk management acknowledgement forms.	AC+5	0	AC+5	O AC = Life of the organization.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	207801	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.			
1.1.007	207802	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	0	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 University 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.			
1.1.008	207803	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	207804	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	207805	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.070	207806	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.3.020	207807	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
4.1.002	207808	Billing Detail Provides itemized billing record for services rendered.	FE+1	8	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				
4.5.002	207809	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.6.002	207810	Reconciliations	FE+3	0	FE+3					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	207901	Reports And Studies - Special Activity This series documents the activities of a University department. Examples may include the completion of surveys and questionnaires, compilation of special studies for professional or academic associations, and special mailings. This series may include but is not limited to: arrangements documentation; working papers; questionnaires; survey forms; study designs; reports; and related documentation and correspondence.	10	0	10	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention.			
1.1.004	207902	Legislative Appropriation Requests Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC+6	0	AC+6	I	AC = September 1 of odd-numbered calendar years. 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.			
1.1.008	207903	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	207904	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	207905	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2082 Finance / Reporting / Institutional Reporting								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	208201	Projects This series documents the activities of an office which are performed in addition to its regular duties. This series may include completed surveys and questionnaires, working papers for the project, questionnaire and survey forms; and other related correspondence.	AC+3	0	AC+3	O	AC = After completion.			
1.1	208202	Reports And Studies - Special Activity This series documents the activities of a University department. Examples may include the completion of surveys and questionnaires, compilation of special studies for professional or academic associations, and special mailings. This series may include but is not limited to: arrangements documentation; working papers; questionnaires; survey forms; study designs; reports; and related documentation and correspondence.	1	9	10	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention.			
1.1.007	208203	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	0	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 University Archives when these records have met their retention periods. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2082 Finance / Reporting / Institutional Reporting								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	208204	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.013	208205	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				

Retention Codes (Field 7)

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AV - Administrative Value

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	208206	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	208207	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.070	208208	<p>Agency Rules, Policies, and Procedures - Final</p> <p>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.</p>	AC+3	0	AC+3	<p>O AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>				
4.5.002	208209	<p>Internal Fiscal Management Reports</p> <p>Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.</p>	FE+1	2	FE+3	<p>Monthly reconciliation and approval of expenses required by internal audit.</p>				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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			Agency	Storage	Total	9. Remarks				
4.5.003	208210	Annual Financial Reports Required by the General Appropriations Act (100 Day Report).	AC	6	AC+6	I AC = September 1 of odd-numbered calendar years. 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 I. 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.				
4.5.005	208211	External Fiscal Reports Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE+3	0	FE+3					
4.6.002	208212	Reconciliations	FE+3	0	FE+3					
5.5.002	208213	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.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
5.5.004	208214	System Activity Reports Internal listing of all incoming/outgoing agency telephone activity.	AV	0	AV					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	208501	Subpoenas Legal document requiring recipient to appear in court to testify, or to produce records to be used in litigation.	FE+3	0	FE+3					
1.1.007	208502	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	0	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 University 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.				
1.1.008	208503	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2085 HR / Business Operations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	208504	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.038	208505	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3	AC = After completion of survey. SEE item number 1.1.067 for summary reports compiled from customer surveys.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2085 HR / Business Operations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	208506	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	208507	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.067	208508	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				

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3.1	208509	Employee Authorization Form This records series documents the administrative approval process for new positions within a department. This series may contain but is not limited to information about the hiring manager; position, funding, budget information, justification for the position and approval signatures.	FE+2	0	FE+2					
3.1	208510	Personnel Records A record that consists of any information gathered by the University relating to the: individual's application; qualifications; employment hire packets, promotions, demotions, transfers; salary; performance evaluation forms; and suspension, disciplinary actions, and termination of employment. Contents of the Personnel Record are subject to the following: Institutional Handbook Of Operating Procedures policy 3.1.2 Employee Files, policy 5.5.6 Faculty Credentials, and/or the Bylaws and Rules and Regulations of the Medical Staff as applicable.	AC	5	AC+5	AC = Termination of UTMB employment.				
3.1.021	208511	Personnel Disciplinary Action Documentation / Compliance Violations This records series contains required documentation used to determine if a rehire candidate meets rehire qualifications. Includes only documentation on a previous employee who was dismissed for misconduct, HIPPA violations and violation of the rules. This documentation provides background to the former employees conduct and whether it was 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.	AC+75	0	AC+75	AC = Termination of employment.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.1.027	208512	Training and Educational Achievement Records (Individual) Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC+5	0	AC+5	AC = Termination of employment.				
3.1.029	208513	Employment Eligibility, Documentation or Verification of Federal reporting form (INS I-9).	AC+1	0	AC+1	AC = Termination of employment. CAUTION: Federal regulation requires that INS I-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever is later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period. 8 CFR 274a.2(b)(2)(i)(a) and (c)(2).				
3.1.031	208514	Employee Benefits - Other than Insurance Agency copies of information relating to the selection of available benefit options other than insurance. Includes Optional Retirement Program (ORP) and University of Texas Governmental Retirement Arrangement (UTGRA).	AC+75	0	AC+75	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.				
3.1.038	208515	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	0	US	SEE item number 3.3.011, the most recent Public Access Option Form at time of separation is forwarded to 3.3.011.				

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3.2.001	208516	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+5	0	AC+5	AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever is sooner.				
3.2.010	208517	Human Resources Information System (HRIS) Reports Includes supporting documentation.	AC+4	0	AC+4	AC = Report date.				
3.3.011	208518	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+1	74	AC+75	AC = Termination of employment.				
3.4.006	208519	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	208520	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.2.002	208521	Cash Receipts Includes receipts for fees (permits, licenses, renewals, etc.)	FE+3	0	FE+3					
4.5.002	208522	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.7.012	208523	Signature Authorizations Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	US+FE+3	0	US+FE+3	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.1	208524	Service Request A record of requests for service or information received and responses made to them by University staff. Logs reflect date, time, caller, recipient of call, nature of business discussed and close date. May include written or electronic inquiries and responses.	1	0	1					
5.1.004	208525	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	0	US					
5.1.014	208526	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	0	US+1					
5.3	208527	Procurement Card Records A record of purchases made with a University of Texas Medical Branch Procurement Card. This records series may include but is not limited to: Procurement Card Transaction Log, original charge slip, sales receipt, packing slip, invoice, or any other information related to the purchase.	FE+3	0	FE+3					
5.4.011	208528	Visitor Control Registers Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.	3	0	3					

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			Agency	Storage	Total	9. Remarks				
1.1	208601	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1.007	208602	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	0	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 University 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.				
1.1.008	208603	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2086 HR / Compensation								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	208604	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.043	208605	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					
1.1.043	208606	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2086 HR / Compensation								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	208607	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.064	208608	<p>Agency Performance Measures Documentation</p> <p>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.</p>	FE+3	0	FE+3	<p>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.</p>				
1.1.070	208609	<p>Agency Rules, Policies, and Procedures - Final</p> <p>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.</p>	AC+3	0	AC+3	<p>O AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>				
3.1.023	208610	<p>Position/Job Descriptions</p> <p>Job descriptions, including all associated task or skill statements, for positions in an agency.</p>	AC+4	0	AC+4	<p>AC = Until superseded or job eliminated. 40 TAC 815.106(i).</p>				

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End	I - Retain in Archives O - Review Required Before Disposal LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2087 Office Of The Executive Vice President / Business and Finance								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	208701	Projects This series documents the activities of an office which are performed in addition to its regular duties. This series may include completed surveys and questionnaires, working papers for the project, questionnaire and survey forms; and other related correspondence.	AC+3	0	AC+3	O				
1.1.007	208702	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	0	4	O	<p>ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the University Archives when these records have met their retention periods.</p> <p>CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.</p>			
1.1.008	208703	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	0	2	O		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.		

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.023	208704	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.				
1.1.038	208705	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3	O AC = After completion of survey. SEE item number 1.1.067 for summary reports compiled from customer surveys.				
1.1.040	208706	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				
1.1.055	208707	Strategic Plans Information resources and operational strategic plans prepared in accordance with 2054.095 and 2056.002, Government Code.	AC+6	0	AC+6	I AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.				

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AV - Administrative Value

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FE - Fiscal Year End

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US - Until Superseded

Archival Codes (Field 8)

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O - Review Required Before Disposal



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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	208708	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	208709	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
3.3.023	208710	<p>Reimbursable Activities, Requests And Authorizations To Engage In</p> <p>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.</p>	FE+3	0	FE+3					
3.4.007	208711	<p>Time Off and/or Sick Leave Requests</p> <p>This records series may include but not be limited to Leave Request Forms and other supporting documentation.</p>	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 2087 Office Of The Executive Vice President / Business and Finance								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
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4.1	208712	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+7	0	FE+7					
4.2.005	208713	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.5.006	208714	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3					
4.6.002	208715	Reconciliations	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3001 Health System Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	300101	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1	300102	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1.007	300103	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	0	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 University Archives when these records have met their retention periods. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3001 Health System Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.008	300104	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			
1.1.013	300105	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.023	300106	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I	Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.			
1.1.040	300107	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3001 Health System Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	300108	<p>Transitory Information</p> <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; 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	0	AC	AC = Purpose of record has been fulfilled.				
1.1.067	300109	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				
1.1.070	300110	<p>Agency Rules, Policies, and Procedures - Final</p> <p>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.</p>	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures.				
						O SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				

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			Agency	Storage	Total	9. Remarks				
3.1.018	300111	Grievance Records Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC+2	0	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.				
3.4.006	300112	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	300113	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.5.006	300114	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3					
4.6.002	300115	Reconciliations	FE+3	0	FE+3					
5.1.004	300116	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3002 Credentialing Information Services / Medical Staff Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	300201	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	1	5	6	O				
1.1.007	300202	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	0	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 University 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.			
1.1.008	300203	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	300204	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.070	300205	<p>Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.</p>	PM	0	PM	<p>O SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p> <p>Retention is based on department policy.</p>				
3.4.006	300206	<p>Time Cards and Time Sheets</p> <p>A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.</p>	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	300207	<p>Time Off and/or Sick Leave Requests</p> <p>This records series may include but not be limited to Leave Request Forms and other supporting documentation.</p>	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3002 Credentialing Information Services / Medical Staff Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.5.002	300208	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
5.1.004	300209	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.1.014	300210	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	0	US+1					
5.3	300211	Procurement Card Records A record of purchases made with a University of Texas Medical Branch Procurement Card. This records series may include but is not limited to: Procurement Card Transaction Log, original charge slip, sales receipt, packing slip, invoice, or any other information related to the purchase.	FE+2	1	FE+3					
5.5.002	300212	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.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3003 Finance / Financial Planning And Performance Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	300303	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.023	300304	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3003 Finance / Financial Planning And Performance Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	300305	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	300306	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.067	300307	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

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			Agency	Storage	Total				9. Remarks	
3.3.023	300308	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	0	FE+3					
4.6.002	300309	Reconciliations	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3005 Volunteer Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	300501	Agreement Administration Records This series provides a record of all phases of the administration of agreements from negotiation to final performance. Records may include but are not limited to: negotiation issues documentation, memos of understanding, a copy of the agreement, amendments, scope of work, terms and conditions, billing and payment documentation, and related correspondence.	AC+6	0	AC+6	AC = Completion of the agreement and all actions have been finalized. 45 CFR §164.530(j)(2).				
1.1	300502	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1	300503	Projects This series documents the activities of an office which are performed in addition to its regular duties. This series may include completed surveys and questionnaires, working papers for the project, questionnaire and survey forms; and other related correspondence.	AC+3	0	AC+3	O AC = After completion.				
1.1	300504	Volunteer Records / Non Participants This records series includes completed volunteer applications for applicants who either choose to volunteer elsewhere or do not follow-up and complete volunteer hours at UTMB.	1	0	1					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	300505	Volunteer Records / Participants This series documents the activities and administration of an Institution's department or office's volunteer program. Records may include: volunteer hour statistics; volunteer program publicity records; insurance requirement information; and inactive volunteer files containing applications and conditions of volunteer service forms.	AC+1	4	AC+5	AC = After separation.				
1.1.008	300506	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.013	300507	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.043	300508	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	300509	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.067	300510	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				
1.3.002	300511	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.3.020	300512	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					

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			Agency	Storage	Total	9. Remarks				
4.5.006	300513	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3006 Pastoral Care								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
1.1	300601	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.			
1.1	300602	Gift Records Or Donor Files This series documents potential or realized private, corporate, or public agency funding to the institution, including endowments, gifts, donor records and trusts. This series may include but is not limited to: award guidelines; letters and agreements of gifts; amounts of donations received; names of donors; conditions placed on donations; copies of bequest instruments and wills from individuals or estates; gift / pledge transmittal forms; solicitation material; acknowledgement letters; copies of checks or securities documents; financial statements and reports, including records of fund disbursements; and related documentation and correspondence.	PM	0	PM	I	Security is open with restrictions.			
1.1	300603	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			

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			Agency	Storage	Total	9. Remarks				
1.1	300604	Volunteer Records / Participants This series documents the activities and administration of an Institution's department or office's volunteer program. Records may include: volunteer hour statistics; volunteer program publicity records; insurance requirement information; and inactive volunteer files containing applications and conditions of volunteer service forms.	AC+2	3	AC+5	AC = After separation.				
1.1.006	300605	Complaint Records Complaints received by the agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+2	0	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 (litigation files).				
1.1.008	300606	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.038	300607	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3	AC = After completion of survey. SEE item number 1.1.067 for summary reports compiled from customer surveys.				

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			Agency	Storage	Total	9. Remarks				
1.1.057	300608	<p>Transitory Information</p> <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; 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	0	AC	AC = Purpose of record has been fulfilled.				
1.1.067	300609	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				
1.1.070	300610	<p>Agency Rules, Policies, and Procedures - Final</p> <p>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.</p>	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				

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			Agency	Storage	Total				9. Remarks	
1.3.001	300611	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	300612	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.3.020	300613	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.3.030	300614	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	0	US+2	CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.4.006	300615	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+2	2	FE+4	40 TAC 815.106(i).				
3.4.007	300616	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+1	2	FE+3					
4.4.001	300617	General and Subsidiary Ledgers	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.7	300618	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3006 Pastoral Care								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.7	300619	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.1.001	300620	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+6	0	AC+6	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2).				
5.1.004	300621	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.1.014	300622	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	0	US+1					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3007 Emergency Services Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	300701	Reports And Studies - Special Activity This series documents the activities of a University department. Examples may include the completion of surveys and questionnaires, compilation of special studies for professional or academic associations, and special mailings. This series may include but is not limited to: arrangements documentation; working papers; questionnaires; survey forms; study designs; reports; and related documentation and correspondence.	10	0	10	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention.			
1.1	300702	Subpoenas Legal document requiring recipient to appear in court to testify, or to produce records to be used in litigation.	FE+5	0	FE+5		Some information may be exempt from public disclosure. Retention is based on department policy.			
1.1.007	300703	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	0	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 University 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.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3007 Emergency Services Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	300704	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	0	2					
1.1.040	300705	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				
1.1.057	300706	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	300707	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3007 Emergency Services Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.067	300708	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				
1.1.070	300709	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
1.3.001	300710	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.002	300711	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.3.020	300712	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.4.006	300713	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+1	3	FE+4		40 TAC 815.106(i).			
3.4.007	300714	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+1	2	FE+3					
4.5.002	300715	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3		Monthly reconciliation and approval of expenses required by internal audit.			

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.7	300716	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+15	0	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				
4.7	300717	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3007 Emergency Services Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
5.2.010	300718	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				
5.4.007	300719	Hazardous Materials Training Records Records of training given to employees in an agency hazard communications program.	5	0	5	Texas Health and Safety Code, 502.009(g).				
5.4.009	300720	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	300721	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				
	300722	Medical Forensic Record This records series documents Medical Forensic Sexual Assault examinations, child abuse and domestic violence. The series may include but is not limited to: consent forms for advocates, digital images, morning after pill, SANE discharge instructions, patient consent, secure digital forensic images, and related correspondence.	PM	0	PM					

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Archival Codes (Field 8)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3007 Emergency Services Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
	300723	Request For Forensic Records Forms completed by a Law Enforcement Agency and/or an employee of Texas Department of Family and Protective Service for forensic records and physical images for Investigational purposes. The series may include but is not limited to: law enforcement request for Records and Texas Department of Family and Protective Services Authorization to Disclose protected health information.	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3009 Revenue Cycle Operations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
1.1	300901	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1	300902	Projects This series documents the activities of an office which are performed in addition to its regular duties. This series may include completed surveys and questionnaires, working papers for the project, questionnaire and survey forms; and other related correspondence.	AC+3	0	AC+3	O	AC = After completion.			
1.1.002	300903	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	0	AC+7		AC = Publication or release of final audit findings. The record copy of any audit performed by the State Auditor's Office is retained permanently by UTMB's Internal Audit Services Consulting And Investigation.			

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	300904	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	0	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 University 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.				
1.1.008	300905	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	300906	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.023	300907	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.				
1.1.040	300908	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

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			Agency	Storage	Total	9. Remarks				
1.1.048	300909	Litigation Files Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC+2	8	AC+10	O 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. ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the University Archives.				
1.1.057	300910	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	300911	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.065	300912	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	AV					
1.1.067	300913	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O				
1.1.069	300914	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	0	1					
1.1.070	300915	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3009 Revenue Cycle Operations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
2.1.007	300916	Software Programs Automated software applications and operating system files including job control language, program listing/source code, etc.	AC	0	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.				
3.3.030	300917	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	0	US+2	CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.				
4.1.002	300918	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				
4.2.002	300919	Cash Receipts Includes receipts for fees (permits, licenses, renewals, etc.)	FE	3	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3009 Revenue Cycle Operations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.2.003	300920	Daily Cash Receipts Logs	FE+1	2	FE+3					
4.2.005	300921	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	9	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.4.001	300922	General and Subsidiary Ledgers	FE	9	FE+9		UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.			
4.5.002	300923	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+1	2	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.6.002	300924	Reconciliations	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3009 Revenue Cycle Operations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.7.003	300925	Returned Checks/Warrants/Drafts (Uncollectable) This records series documents attempts to collect monies for non-negotiable (usually non-sufficient funds) checks received for payment to University accounts. Records consist of master list of checks returned to the agency and may contain names, addresses, telephone numbers, banks upon which checks were drawn, reasons for return, and notations of any prior activity.	AC+1	2	AC+3	AC = After deemed uncollectable.				
5.1.014	300926	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	0	US+1					
5.4.012	300927	Security Access Records Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency facilities, equipment, or automated systems.	AC+2	0	AC+2	AC = Until superseded, date of expiration, or date of termination, whichever sooner.				
	300928	Charge Documents - Encounter Forms This series consists of documents submitted by departments for the purpose of billing patients' insurance companies and agencies.	1	6	7					
	300929	Health Related Services / Accepted This records series documents the referral and acceptance of indigent patients to a University clinic from contracted counties within the state. The series may include but is not limited to: clinical information referral form, clinic appointment information, and related correspondence.	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3010 Nursing Services / Medical Surgical Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	301001	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1.008	301002	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			
1.1.013	301003	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3010 Nursing Services / Medical Surgical Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	301004	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	301005	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
3.1.027	301006	Training and Educational Achievement Records (Individual) Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC+5	0	AC+5	AC = Termination of employment.				
3.4.006	301007	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE	4	FE+4	40 TAC 815.106(i).				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3011 Nursing Services / Perioperative Nursing								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	301101	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1.008	301102	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			
1.1.013	301103	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			

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AV - Administrative Value

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	301104	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	301105	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.065	301106	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	301107	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	301108	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3	AC+3	O				
3.3.020	301109	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.3.023	301110	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	0	FE+3					
3.4.006	301111	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+1	3	FE+4		40 TAC 815.106(i).			
3.4.007	301112	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+1	2	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3011 Nursing Services / Perioperative Nursing								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.1.002	301113	Billing Detail Provides itemized billing record for services rendered.	FE+1	8	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007. UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
4.2.005	301114	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+1	8	FE+9					
5.1.004	301115	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	0	US					
5.2.005	301116	Calibration Records (Equipment or Instrument)	1	9	10					

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			Agency	Storage	Total				9. Remarks	
5.2.010	301117	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				
	301118	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					
	301119	Medical Logs / Tissue Implant Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	10	0	10				Retention is based on department policy.	
	301120	Surgical Instrument Sterilization Records This series documents the sterilization of surgical instruments. This series may include but is not limited to: autoclave recording charts and log sheets indicating date, load number, items sterilized, and temperature / time settings.	FE	3	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3017 Nursing Program Development								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	301701	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O				
1.1	301702	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O				
1.1	301703	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3017 Nursing Program Development								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	301704	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	0	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 University 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.				
1.1.008	301705	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.024	301706	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.040	301707	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			
1.1.057	301708	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC		AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).			
1.1.063	301709	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.065	301710	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3017 Nursing Program Development								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.067	301711	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O				
1.1.070	301712	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O				
3.3.027	301713	Aptitude and Skills Tests Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US+2	0	US+2					
3.3.028	301714	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	0	2					
3.4.007	301715	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3017 Nursing Program Development								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.2.002	301716	Cash Receipts Includes receipts for fees (permits, licenses, renewals, etc.)	FE+3	0	FE+3					
5.1.004	301717	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.2.011	301718	Equipment Warranties	AC+1	0	AC+1	AC = After expiration.				
	301719	Continuing Nursing Education (CNE) Provider Activity Records This records series documents criteria for continuing nursing education as established by the Texas Board of Nursing (BON), Chapter 216 Continuing Competency. Records may include but are not limited to: course agendas, descriptions, activity outlines and materials; names, titles and expertise of activity planners, presenters, authors and content reviewers; enrollment and attendance records; number of contact hours awarded; evidence of learner feedback; and related documentation and correspondence.	FE+6	0	FE+6	Texas Nursing Association Approved Provider Activity Guidelines and Criteria.				
	301720	Nursing Peer Review Records This records series provides an evaluation of the qualifications of a nurse, the quality of patient care rendered by the nurse, critical thinking, the merits of a complaint concerning a nurse or nursing care, and a determination regarding a complaint. This series may include but is not limited to: evaluative comments regarding nursing knowledge, skills, interpersonal relationships, personal / professional characteristics and related correspondence.	AC+3	0	AC+3	AC = Date of review. Texas Occupations Code, Chapter 303.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	301901	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	1	5	6	O ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.				
1.1.007	301902	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.	1	3	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 University 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.				
1.1.008	301903	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3019 Nursing Services / WIC / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.043	301904	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US	1	US+1					
1.1.057	301905	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	301906	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.067	301907	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	1	2	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				
1.1.070	301908	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.3.020	301909	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.4.006	301910	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+1	3	FE+4	40 TAC 815.106(i).				
3.4.007	301911	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.2.002	301912	Cash Receipts Includes receipts for fees (permits, licenses, renewals, etc.)	FE	3	FE+3					

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			Agency	Storage	Total	9. Remarks				
4.2.005	301913	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	9	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. 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. Texas Health and Safety Code, 502.005(d).				
4.6.002	301914	Reconciliations	FE	3	FE+3					
5.2.005	301915	Calibration Records (Equipment or Instrument)	1	9	10					
5.2.008	301916	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.	LA	3	LA+3					
5.2.018	301917	Quality Control Reports	1	1	2					
5.4.003	301918	Inspection Records Fire, safety, and other inspection records of agency facilities and equipment.	AC	3	AC+3					
5.4.009	301919	Workplace Chemical Lists	1	29	30					

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			Agency	Storage	Total	9. Remarks				
5.4.012	301920	Security Access Records Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency facilities, equipment, or automated systems.	AC	2	AC+2	AC = Until superseded, date of expiration, or date of termination, whichever sooner.				
	301921	Drug Recall Notices Food and Drug Administration (FDA) and manufacturer recalls on drugs. This records series may include but is not limited to: reportable occurrences of drug use, recalls through the manufacturer, and responses by departments.	1	4	5					
	301922	Licensure Records / Texas State Board of Pharmacy License This series documents the professional and regulatory issuance of credentials to facilities providing pharmaceutical services at the University. This series may include but is not limited to: license applications, Pharmacy Board Retail Drug Outlet/Controlled Substance Registration (license) and inspection reports, Drug Enforcement Administration (license), Department of Public Safety (license), and related correspondence.	US	2	US+2	22 TAC § 291.75.				
	301923	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	1	2	3					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
	301924	Pharmacy Controlled Substance Records Consists of records that document the use and disposition of controlled substances. Including but not limited to: audits, inventories, and transfers between pharmacies, prescriptions, and dispositions of controlled substances, night medication sheets, and proof of use sheets.	1	2	3					
	301925	Pharmacy Prescription Dispensation Records This series is used to provide an individual, daily summary, and annual summary record of initial drug dispensation and refills administered by the department as required by the Texas State Pharmacy Board. This series may include but is not limited to: prescription slips, in-house computer-generated Rx registers, controlled substance reports, and database purge reports.	1	2	3					
	301926	Pre-packing Cards And Compounding Records For Medications Documentation for pre-packing and compounding medications. May include but is not limited to: Pre-packing cards, compounding worksheets (sterile and non-sterile).	1	1	2					
	301927	Surgical Instrument Sterilization Records This series documents the sterilization of surgical instruments. This series may include but is not limited to: autoclave recording charts and log sheets indicating date, load number, items sterilized, and temperature / time settings.	FE	3	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3028 Nursing Services / Critical Care / Extracorporeal Membrane Oxygenation								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	302801	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	0	2					
1.1.013	302802	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.043	302803	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3028 Nursing Services / Critical Care / Extracorporeal Membrane Oxygenation								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	302804	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	302805	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.065	302806	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	302807	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	1	2	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	302808	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.3.020	302809	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
4.7	302810	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+5	10	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				
5.1.004	302811	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
	302812	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				

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			Agency	Storage	Total	9. Remarks				
	302813	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	AC+7	0	AC+7	AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).				
	302814	Medical Research / Clinical Trials Not Associated With Grants Research data and documentation gathered or created in the course of a clinical trial in which the University is the primary sponsor. May include case reports, shipping records, research data from investigators, internal research data, study protocols/ designs and amendments, FDA forms, pharmaceutical studies, findings, research papers and serious adverse events reports.	AV	PM	PM					
	302815	Quality Assurance Records / Health Services This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections, reports by the staff, quality assurance committee notes, staff reviews and related correspondence.	FE+3	0	FE+3					
	302816	Test Questions And Examinations Records may include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC+2	0	AC+2	AC = After graduation or date of last attendance.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3030 Nursing Services / Nursing Support								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	303001	Projects This series documents the activities of an office which are performed in addition to its regular duties. This series may include completed surveys and questionnaires, working papers for the project, questionnaire and survey forms; and other related correspondence.	AC+3	0	AC+3	O	AC = After completion.			
1.1.007	303002	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	0	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 University 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.			
1.1.008	303003	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3030 Nursing Services / Nursing Support								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.043	303004	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					
1.1.057	303005	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	303006	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3034 Transportation Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	303401	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	0	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 University 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.				
1.1.008	303402	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3034 Transportation Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	303403	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	303404	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.069	303405	<p>Reports - Activity</p> <p>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.</p>	1	0	1	<p>CAUTION: SEE item number 1.1.064.</p>				
1.1.070	303406	<p>Agency Rules, Policies, and Procedures - Final</p> <p>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.</p>	AC+3	0	AC+3	<p>O AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3034 Transportation Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
3.4.005	303407	Overtime Schedules	2	0	2					
3.4.006	303408	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE	4	FE+4	40 TAC 815.106(i).				
3.4.007	303409	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.1.002	303410	Billing Detail Provides itemized billing record for services rendered.	FE	9	FE+9		UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.			
4.6.002	303411	Reconciliations	FE	3	FE+3					
5.1.003	303412	Delivery Reports	2	0	2					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3035 House Staff Office								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	303501	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+1	4	US+5	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation. Retention is based on department policy.			
1.1	303502	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1	303503	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3035 House Staff Office								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	303504	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	0	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 University 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.				
1.1.008	303505	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3035 House Staff Office								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	303506	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.043	303507	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3035 House Staff Office								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	303508	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	303509	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.065	303510	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	303511	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3035 House Staff Office								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	303512	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.4.006	303513	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
4.5.002	303514	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.6.002	303515	Reconciliations	FE+3	0	FE+3					
5.1.004	303516	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.4.012	303517	Security Access Records Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency facilities, equipment, or automated systems.	AC+2	0	AC+2	AC = Until superseded, date of expiration, or date of termination, whichever sooner.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3035 House Staff Office								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	303518	Medical Rotation Records / Residents And Fellows Not Affiliated This records series documents residency physicians or fellows not affiliated with this University, but are accepted to practice medicine under the supervision of a licensed physician at this hospital as part of an elective not offered at their hospital. Records may include but are not limited to: formal request to rotate, CV, criminal background check, drug test, permit to practice medicine, evaluations, and related correspondence.	AC+5	0	AC+5	AC = Completion of course or date of last attendance.				
	303519	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+50	0	AC+50	AC = Completion of training.				
	303520	Placement Records This series documents the written reference history of a student to be forwarded to potential employers or professional schools. Records may include but are not limited to: credentials records showing where, when, and cost of letters sent; release of information form which includes a listing of the reference letters to be sent; reference letters; student teaching reports; professional program certificates; personal data sheets and resumes; College Interview Forms; and related documentation and correspondence.	AC+5	0	AC+5	AC = After placement. Retention is based on department reporting needs.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3036 Health Information Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	303608	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	303609	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.067	303610	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3036 Health Information Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	303611	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
2.1.010	303612	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	0	AC	AC = All audit requirements have been met.				
2.1.011	303613	Finding Aids, Indexes, and Tracking Systems Automated indexes, lists, registers, and other finding aids used to provide access to records.	PM	0	PM	Retention is based on the same retention period and archival code of the patient records they support.				
3.3.027	303614	Aptitude and Skills Tests Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US+2	0	US+2	29 CFR 1602.49 (State Universities). CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.				
3.3.028	303615	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	0	2	29 CFR 1602.49 (State Universities).				
3.4.006	303616	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				

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			Agency	Storage	Total	9. Remarks				
3.4.007	303617	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.1.002	303618	Billing Detail Provides itemized billing record for services rendered.	FE+1	8	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				
4.2.003	303619	Daily Cash Receipts Logs	FE+1	2	FE+3					
4.5.006	303620	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3					
4.6.002	303621	Reconciliations	FE+3	0	FE+3					
5.1.012	303622	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	0	US+3					

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MO - Months

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US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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			Agency	Storage	Total	9. Remarks				
	303623	Birth Reports This records series consists of all necessary information for the completion of the birth certificate including baby's name, weight, height, time/date/ location of birth and information on the baby's parents. The record copy of the birth certificate retained by the Office of Vital Statistics.	AC	21	AC+21	AC = Report date.				
	303624	Disclosure of Protected Health Information This records series documents disclosure of Protected Health Information (PHI) in accordance with the Health Information Portability and Accountability Act (HIPAA) compliance regulations.	FE+6	0	FE+6					
	303625	Donor Records - Medical This records series consists of completed bequeathal forms and cadaver information for people who have donated their bodies to the University of Texas Medical Branch.	AV	PM	PM					
	303626	Patient Records / Acquired This records series consists of patient records obtained in the acquisition of a facility, hospital or clinic.	AC+10	0	AC+10	AC = Last date of service, or if minor, when patient turns 21. 22 TAC 165.1 and Texas Government Code Section 441.187.				

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			Agency	Storage	Total	9. Remarks				
	303627	Source Data / Medical / Fetal Monitor This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE	20	FE+20	Retention is based on age of majority plus 3 years.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
	303628	<p>Unit Medical Record</p> <p>This records series consists of original patient care documents for every patient seeking care or service from The University Of Texas Medical Branch. The Unit Medical Record (UMR) is designed to contain written interpretations of all significant clinical information gathered for a given patient, whether as an inpatient, outpatient, or emergency care patient.</p> <p>The UMR may contain information listed in the Inpatient and Outpatient Filing Order Guides maintained by the Health Information Management department.</p> <p>Inpatient Filing Order may include the following examples: Deficiency Sheet, Data Sheet, Discharge Summary, Discharge Progress Note, Record of Sensitivity, Final Discharge Note; Physician Orders, Admission documents; History and Physical documents; Surgical records; Progress Notes; Consultation Reports; Laboratory and ancillary reports; X-ray interpretation records; interpretations of the EEG, EKG and fetal heart monitor tracings; Nurses Notes; Other Records not covered in any other section for the Inpatient Filing Order Guide; Consent Forms; and Advance Directives, for example, Medical Power of Attorney, Directive to Physicians Out of Hospital.</p>	PM	0	PM					

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			Agency	Storage	Total	9. Remarks				
1.1	303701	Accreditation Records / Preliminary Studies This records series identifies and corrects deficiencies during interim periods between visits from accrediting agencies and the Joint Commission on Accreditation of Healthcare Organizations (JCAHO). Records may include but are not limited to: preliminary self studies and surveys, planning documents used to establish goals and indicators, temporary problem solving team notes and discussions, action plans, work assignments, research, history of previous scores / assignments, REF tool for comprehensive assessment scoring, quality reviews, Ad HOC projects assigned to deficiencies, FSA compliance concerns, data and deficiency tracking, supporting documentation and related correspondence.	AC	0	AC					
1.1	303702	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O				
1.1	303703	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				

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			Agency	Storage	Total					
1.1.013	303708	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.024	303709	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.			
1.1.038	303710	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3		AC = After completion of survey. SEE item number 1.1.067 for summary reports compiled from customer surveys.			
1.1.040	303711	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			

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1.1.043	303712	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					
1.1.057	303713	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	303714	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.065	303715	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.				

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			Agency	Storage	Total	9. Remarks				
1.1.067	303716	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				
1.1.070	303717	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
1.2.003	303718	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	0	AC+1	AC = Discontinuance of use of form.				

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			Agency	Storage	Total	9. Remarks				
1.3.001	303719	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	303720	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.4.006	303721	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4		40 TAC 815.106(i).			
4.6.002	303722	Reconciliations	FE+3	0	FE+3					

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			Agency	Storage	Total	9. Remarks				
4.7	303723	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.1.004	303724	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.1.014	303725	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	0	US+1					

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			Agency	Storage	Total					
1.1	303801	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.			
1.1.007	303802	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	0	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 University 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.			
1.1.008	303803	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

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			Agency	Storage	Total	9. Remarks				
1.1.013	303804	Calendars, Appointment Books 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	0	CE+1	O				
1.1.023	303805	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	303806	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	303807	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.070	303808	<p>Agency Rules, Policies, and Procedures - Final</p> <p>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.</p>	AC+3	0	AC+3	<p>O AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>				
3.3.020	303809	<p>Work Schedules / Assignments</p> <p>Work, duty, shift, crew, or case schedules, rosters, or assignments.</p>	1	0	1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3038 Care Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.4.006	303810	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+1	3	FE+4	40 TAC 815.106(i).				
3.4.007	303811	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+1	2	FE+3					
	303812	Social Work Case Files Consists of records that document social work activities which include but are not limited to: records of the dates of social work services, types of social work services, documentation of an assessment, evaluation, or diagnosis of a client and billing information. Records are maintained as a separate entity and not interfiled within the patient medical record.	AC+5	0	AC+5	AC = Date of last contact or patient reaches the age of 18 whichever is later. 22 TAC § 781.204(f) and 22 TAC § 781.209(4).				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3045 Nursing Services / Cardiopulmonary Resuscitation Lab								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	304501	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	0	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 University 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.				
1.1.008	304502	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3045 Nursing Services / Cardiopulmonary Resuscitation Lab								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	304503	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	304504	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.065	304505	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.				
1.1.067	304506	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3045 Nursing Services / Cardiopulmonary Resuscitation Lab								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	304507	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
4.2.003	304508	Daily Cash Receipts Logs	FE+3	0	FE+3					
5.1.001	304509	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+6	0	AC+6	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2).				
5.1.012	304510	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	0	US+3					
	304511	Certification Records This series documents the preparation of students earning degrees and/or certification for licenses or certificates to enter a profession and forms the basis of the initial certification for various professions. Records may include but are not limited to: applications for admission to a program, registration for practicum hours and evidence of the completion of the practicum, transcripts, narrative evaluations on practicum, notice of completion of hours required for certification, recommendations and evaluations, and related correspondence.	AC+5	0	AC+5	AC = After initial certification.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3045 Nursing Services / Cardiopulmonary Resuscitation Lab								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	304512	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				
	304513	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	AC+7	0	AC+7	AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).				
	304514	Program And Course Development Records This records series documents the development, approval, and the implementation of undergraduate, graduate, and professional degree programs and any other reorganizations or changes to established programs. Records may include but are not limited to: working papers, final reports, related course descriptions, outlines, sample examinations, textbook lists, etc.	6	0	6	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3046 Cardiac Catheterization Laboratory								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	304601	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.013	304602	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3046 Cardiac Catheterization Laboratory								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	304603	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	304604	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.065	304605	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	304606	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3046 Cardiac Catheterization Laboratory								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.070	304607	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.1.027	304608	Training and Educational Achievement Records (Individual) Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC+5	0	AC+5	AC = Termination of employment.				
3.4.006	304609	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+1	3	FE+4	40 TAC 815.106(i).				
3.4.007	304610	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+1	2	FE+3					
4.2.005	304611	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+2	7	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.6.002	304612	Reconciliations	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3046 Cardiac Catheterization Laboratory								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.1.004	304613	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.2.010	304614	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				
	304615	Drug Assistance Applications This records series contains applications submitted on behalf of a patient to a drug company's assistance program. This series may include but is not limited to: program application forms, validation letters and forms for reapplying, and any paperwork that may be included with the medications when they are sent to the department and subsequently dispensed to the patient.	US+1	0	US+1					
	304616	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3046 Cardiac Catheterization Laboratory								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	304617	Quality Assurance Records / Health Services This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections, reports by the staff, quality assurance committee notes, staff reviews and related correspondence.	FE	3	FE+3					
	304618	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE	5	FE+5					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3047 Pathology / Anatomic Pathology / Electron Microscopy								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	304701	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	0	2					
1.1.057	304702	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC					
1.1.070	304703	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3047 Pathology / Anatomic Pathology / Electron Microscopy								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.1.002	304704	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				
5.2.005	304705	Calibration Records (Equipment or Instrument)	10	0	10					
5.2.008	304706	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.	LA+3	0	LA+3					
5.4.009	304707	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	304708	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3047 Pathology / Anatomic Pathology / Electron Microscopy								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	304709	Laboratory Test Requests This records series consists of all requisitions authorizing a laboratory to perform tests on a sample. This series may include but is not limited to: the patient's name or identification number, the name or identifier of who ordered the test, the date and time of the specimen collection, the source of the specimen, the patient's gender and age or date of birth, physician's signature, and pertinent clinical information. Test results received from external reference labs may be included.	7	0	7					
	304710	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	20	0	20	Retention is based on Department Policy (Medical Research).				
	304711	Quality Assurance Records / Health Services This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections, reports by the staff, quality assurance committee notes, staff reviews and related correspondence.	FE+3	0	FE+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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	304712	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE+5	0	FE+5					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3048 Pathology / Clinical Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	304801	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	304802	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1	304803	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1.002	304804	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	0	AC+7		AC = Publication or release of final audit findings. The record copy of any audit performed by the State Auditor's Office is retained permanently by UTMB's Internal Audit Services Consulting And Investigation.			

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
1.1.007	304805	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	0	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 University 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.			
1.1.008	304806	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			
1.1.023	304807	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I	Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.			
1.1.024	304808	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.			

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			Agency	Storage	Total	9. Remarks				
1.1.057	304809	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	304810	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.070	304811	<p>Agency Rules, Policies, and Procedures - Final</p> <p>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.</p>	AC+3	0	AC+3	<p>O AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>				
3.3.020	304812	<p>Work Schedules / Assignments</p> <p>Work, duty, shift, crew, or case schedules, rosters, or assignments.</p>	1	0	1					

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			Agency	Storage	Total				9. Remarks	
4.5.002	304813	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
5.1.012	304814	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	0	US+3					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	304901	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	0	2					
1.1.013	304902	Calendars, Appointment Books 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	0	CE+1	O				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	304903	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
2.1.007	304904	Software Programs Automated software applications and operating system files including job control language, program listing/source code, etc.	AC	0	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
2.1.009	304905	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	0	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.				
3.3.028	304906	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	0	2	29 CFR 1602.49 (State Universities).				

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			Agency	Storage	Total				9. Remarks	
4.1.002	304907	Billing Detail Provides itemized billing record for services rendered.	FE+1	8	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				
5.1.014	304908	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	0	US+1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3050 Pathology / Laboratory Medicine / Sample Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	305001	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	0	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 University 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.				
1.1.008	305002	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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1.1.013	305003	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	305004	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

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1.1.065	305005	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.			
1.1.067	305006	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
1.1.070	305007	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			
3.3.027	305008	Aptitude and Skills Tests Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US+2	0	US+2		29 CFR 1602.49 (State Universities). CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.			
3.3.028	305009	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	0	2		29 CFR 1602.49 (State Universities).			

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3.4.006	305010	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	305011	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE	3	FE+3					
5.2.010	305012	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				
5.4.009	305013	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	305014	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3050 Pathology / Laboratory Medicine / Sample Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
	305015	Laboratory Test Requests This records series consists of all requisitions authorizing a laboratory to perform tests on a sample. This series may include but is not limited to: the patient's name or identification number, the name or identifier of who ordered the test, the date and time of the specimen collection, the source of the specimen, the patient's gender and age or date of birth, physician's signature, and pertinent clinical information. Test results received from external reference labs may be included.	1	6	7					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3051 Pathology / Laboratory Medicine / Clinical Chemistry								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	305101	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	305102	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1.008	305103	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			
1.1.013	305104	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3051 Pathology / Laboratory Medicine / Clinical Chemistry								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.040	305105	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				
1.1.057	305106	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	305107	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3051 Pathology / Laboratory Medicine / Clinical Chemistry								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.067	305108	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O				
1.1.070	305109	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O				
3.3.027	305110	Aptitude and Skills Tests Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US+2	0	US+2					
3.3.028	305111	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	0	2					
4.1	305112	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+7	0	FE+7					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3051 Pathology / Laboratory Medicine / Clinical Chemistry								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.7	305113	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+15	0	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				
5.2.008	305114	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.	LA+3	0	LA+3					
5.2.018	305115	Quality Control Reports	1	4	5	Retention is based on department policy for accreditation.				
5.4.007	305116	Hazardous Materials Training Records Records of training given to employees in an agency hazard communications program.	5	0	5	Texas Health and Safety Code, 502.009(g).				
5.4.008	305117	Hazard Communication Plans	US+5	0	US+5	Texas Health and Safety Code, 502.009(g).				
5.4.009	305118	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	305119	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3051 Pathology / Laboratory Medicine / Clinical Chemistry								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	305120	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				
	305121	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	AC+7	0	AC+7	AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).				
	305122	Laboratory Test Requests This records series consists of all requisitions authorizing a laboratory to perform tests on a sample. This series may include but is not limited to: the patient's name or identification number, the name or identifier of who ordered the test, the date and time of the specimen collection, the source of the specimen, the patient's gender and age or date of birth, physician's signature, and pertinent clinical information. Test results received from external reference labs may be included.	1	6	7					

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

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O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3052 Pathology / Laboratory Medicine / Hematopathology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.008	305201	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010. AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.043	305202	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					
1.1.057	305203	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3052 Pathology / Laboratory Medicine / Hematopathology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.065	305204	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.			
1.1.067	305205	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
1.1.070	305206	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			
4.2.005	305207	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+2	7	FE+9		UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.			
5.1.004	305208	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	0	US		Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.			

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3052 Pathology / Laboratory Medicine / Hematopathology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.2.005	305209	Calibration Records (Equipment or Instrument)	1	9	10					
5.2.018	305210	Quality Control Reports	1	1	2					
5.4.007	305211	Hazardous Materials Training Records Records of training given to employees in an agency hazard communications program.	5	0	5	Texas Health and Safety Code, 502.009(g).				
5.4.009	305212	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
	305213	Final Laboratory Test Reports This records series consists of the legally reproduced copies of each test result and preliminary reports on pathology testing. Documentation includes all the information recorded on the test requisition plus the specimen's accession number, the date and time the lab received the specimen, the condition and disposition of samples which do not meet the lab's acceptance standards, the records and dates of performance of each step in the patient testing leading to and including the final report.	10	0	10	42 CFR 493.1101.				
	305214	Laboratory Test Requests This records series consists of all requisitions authorizing a laboratory to perform tests on a sample. This series may include but is not limited to: the patient's name or identification number, the name or identifier of who ordered the test, the date and time of the specimen collection, the source of the specimen, the patient's gender and age or date of birth, physician's signature, and pertinent clinical information. Test results received from external reference labs may be included.	1	6	7					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3052 Pathology / Laboratory Medicine / Hematopathology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
	305215	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3053 Pathology / Clinical Services / Blood Bank								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	305301	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	305302	Agreement Administration Records This series provides a record of all phases of the administration of agreements from negotiation to final performance. Records may include but are not limited to: negotiation issues documentation, memos of understanding, a copy of the agreement, amendments, scope of work, terms and conditions, billing and payment documentation, and related correspondence.	AC+6	0	AC+6		AC = Completion of the agreement and all actions have been finalized. 45 CFR §164.530(j)(2).			
1.1.007	305303	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	0	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 University Archives when these records have met their retention periods. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3053 Pathology / Clinical Services / Blood Bank								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.008	305304	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.043	305305	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+5	0	US+5	Retention is based on American Association of Blood Bank (AABB) and Standards for Blood Banks and Transfusion Services (BB/TS), 28th Edition reference standard 6.2c - Retention of Donor / Unit Records.				
1.1.057	305306	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3053 Pathology / Clinical Services / Blood Bank								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.065	305307	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	AV					
1.1.069	305308	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	0	1					
1.1.070	305309	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+1	4	AC+5	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071. Retention is based on department policy.				
3.3.020	305310	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
4.5.002	305311	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+1	2	FE+3					
5.2.018	305312	Quality Control Reports	3	7	10					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3053 Pathology / Clinical Services / Blood Bank								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.4	305313	Equipment Descriptions and Specifications - Risk Management / High Containment Series documents the operation, maintenance, service and repair of institutional equipment. Records may include but are not limited to: purchase orders, lease agreements, warranties, instructions and operating manuals, vendor statements, service contracts, charge call bills, fax activity reports, service logs, invoices for equipment repair, purchase request forms, and memoranda.	10	0	10	Retention is based on AABB, Standards for Blood Banks and Transfusion Services 6.2C, 28th ed 2012.				
5.4.009	305314	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	305315	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				
5.4.012	305316	Security Access Records Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency facilities, equipment, or automated systems.	AC+10	0	AC+10	AC = Until superseded, date of expiration, or date of termination, whichever sooner. Retention is based on Standards for Blood Banks and Transfusion Services, reference standard 6.2.c and CAP TRM. 32250				
	305317	Blood Bank Donor Records Donor record cards including histories, examinations, consent, reactions, donor selection, results of required tests performed on platelets, plasma and red cell pheresis donors, permanent and temporary deferrals, investigation and follow-up, therapeutic bleedings, immunization, and blood collection.	2	8	10	Standards for blood banks and transfusion services AABB, Standards for blood bank and transfusion services, 28th Edition; BB/TS Standard 6.2a.				
	305318	Consignment Tickets This records series consists of records related to the purchase of blood products and derivatives from other entities, including inspection records.	2	8	10	Standards for Blood Banks and Transfusion Services, reference standard 6.2a.				

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			Agency	Storage	Total	9. Remarks				
	305319	Indefinite Deferral List This records series consists of lists of potential donors who have been deferred indefinitely due to abnormal test results.	AV	PM	PM	Standards for Blood Banks and Transfusion Services, reference standard 6.2a.				
	305320	Licensure Records / Blood Bank This series documents the professional and regulatory issuance of credentials to facilities providing services within the blood center. This series may include but is not limited to: license applications, FDA482, FDA356H, and FDA356.7 and related correspondence.	PM	0	PM					
	305321	Processing Records: Blood Bank This records series consists of blood bank records which monitor the process by which blood products are made available for use. Processing records include: blood processing, including the results and interpretation of all infectious disease tests and re-tests; component preparation, including all relevant dates and times; separation and pooling of recovered plasma; the centrifugation and pooling of source plasma; and the labeling of the product including the initials of the processor.	1	9	10	21 CFR 606.151.				
	305322	Quality Assurance Records / Blood Bank This records series includes the management and effectiveness review of the blood bank quality system. Records may include but are not limited to: organization, resources, equipment, supplier and customer issues, process control, documents and records, deviations non conformances and adverse events, internal and external assessments, process improvement through corrective and preventive action, facilities and safety, and related correspondence.	1	9	10	AABB, Standards for Blood Banks and Transfusion Services 6.2C, 28th ed 2012.				

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			Agency	Storage	Total				9. Remarks	
	305323	Requests For Blood Component and Lab Tests This series documents physician orders for laboratory tests in order to obtain blood components. This series may include but is not limited to: name of patient, unique identifiers, date; physician's signature, test(s) ordered and results, and cord blood testing.	1	9	10	21 CFR 606.160 and AABB Standards BB/TS 6.2b 28th Edition.				
	305324	Serologic Problems This records series includes but is not limited to: records related to transfusion reactions, antibody workups, special transfusion requirements, and difficulty in blood typing.	1	9	10	AABB, Standards for Blood Banks and Transfusion Services 6.2C,28th ed 2012.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	305401	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+10	0	US+10	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation. Retention is based on Blood Banking accreditation requirements.			
1.1	305402	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1.008	305403	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

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			Agency	Storage	Total	9. Remarks				
	305407	Non-Institution Student Records This records series documents the administrative activities of special instructional and support programs directed to serve elementary through high school and non-institution students belonging to special groups. The series may include but is not limited to: policy and program planning and development documentation; evaluations of courses, support services, and instructors; program course outlines; attendance records; reports; statistical reports; working papers; and related documentation and correspondence.	AC+1	9	AC+10	O AC = Completion or date of last attendance. Retention is based on Blood Banking accreditation requirements and department policy.				
	305408	Student Research Projects This records series includes all records related to research projects undertaken by students in the course of their education at UTMB. Records may include but are not limited to: applications for research, protocols, research progress, lab notebooks, final reports, evaluations by faculty, IRB or IACUC approval and monitoring, and related correspondence and documentation.	AC+10	0	AC+10	AC = Completion of the project.				
	305409	Test Questions And Examinations Records may include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC+2	0	AC+2	AC = After graduation or date of last attendance.				

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			Agency	Storage	Total					
1.1	305501	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1.008	305502	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			
1.1.057	305503	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC		AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).			

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			Agency	Storage	Total	9. Remarks				
1.1.070	305504	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
5.2.009	305505	Equipment Inventory Detail Report Forms Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE+3	0	FE+3					
5.2.010	305506	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				
5.2.011	305507	Equipment Warranties	AC+1	0	AC+1	AC = After expiration.				
5.4.009	305508	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	305509	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks			
	305510	Final Laboratory Test Reports This records series consists of the legally reproduced copies of each test result and preliminary reports on pathology testing. Documentation includes all the information recorded on the test requisition plus the specimen's accession number, the date and time the lab received the specimen, the condition and disposition of samples which do not meet the lab's acceptance standards, the records and dates of performance of each step in the patient testing leading to and including the final report.	10	0	10	42 CFR 493.1101.			
	305511	Laboratory Case Log The records series consists of a log of specimens received daily from patients which records the accession number, name of patient, requesting doctor, collection date, patient type, birth date, patient number.	2	0	2				
	305512	Laboratory Test Requests This records series consists of all requisitions authorizing a laboratory to perform tests on a sample. This series may include but is not limited to: the patient's name or identification number, the name or identifier of who ordered the test, the date and time of the specimen collection, the source of the specimen, the patient's gender and age or date of birth, physician's signature, and pertinent clinical information. Test results received from external reference labs may be included.	7	0	7				

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			Agency	Storage	Total	9. Remarks				
	305513	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE+1	4	FE+5					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	305601	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1.008	305602	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			
1.1.057	305603	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC		AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).			

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			Agency	Storage	Total	9. Remarks				
1.1.070	305604	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
5.2.010	305605	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				
5.4.008	305606	Hazard Communication Plans	US+5	0	US+5	Texas Health and Safety Code, 502.009(g).				
5.4.009	305607	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	305608	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				

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			Agency	Storage	Total	9. Remarks				
	305609	Laboratory Test Requests This records series consists of all requisitions authorizing a laboratory to perform tests on a sample. This series may include but is not limited to: the patient's name or identification number, the name or identifier of who ordered the test, the date and time of the specimen collection, the source of the specimen, the patient's gender and age or date of birth, physician's signature, and pertinent clinical information. Test results received from external reference labs may be included.	10	0	10	Retention is based on department policy.				
	305610	Quality Assurance Records / Health Services This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections, reports by the staff, quality assurance committee notes, staff reviews and related correspondence.	FE+3	0	FE+3					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	305901	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1.007	305902	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	0	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 University 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.			
1.1.008	305903	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	305904	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.024	305905	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.				
1.1.040	305906	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				
1.1.043	305907	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3059 Pathology / Laboratory Medicine / Tissue Antigen Laboratory								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	305908	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.070	305909	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.4.006	305910	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	305911	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

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			Agency	Storage	Total				9. Remarks	
4.1.002	305912	Billing Detail Provides itemized billing record for services rendered.	FE	9	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007. Texas Health and Safety Code, 502.005(d). AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				
4.6.002	305913	Reconciliations	FE+3	0	FE+3					
5.4.009	305914	Workplace Chemical Lists	30	0	30					
5.4.010	305915	Material Safety Data Sheets	AC	0	AC					
	305916	Donor Records - Medical This records series consists of completed bequeathal forms and cadaver information for people who have donated their bodies to the University of Texas Medical Branch.	AV	PM	PM					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	305917	Laboratory Test Requests This records series consists of all requisitions authorizing a laboratory to perform tests on a sample. This series may include but is not limited to: the patient's name or identification number, the name or identifier of who ordered the test, the date and time of the specimen collection, the source of the specimen, the patient's gender and age or date of birth, physician's signature, and pertinent clinical information. Test results received from external reference labs may be included.	10	0	10	Retention is based on department policy.				
	305918	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					
	305919	Medical Research / Clinical Trials Not Associated With Grants Research data and documentation gathered or created in the course of a clinical trial in which the University is the primary sponsor. May include case reports, shipping records, research data from investigators, internal research data, study protocols/ designs and amendments, FDA forms, pharmaceutical studies, findings, research papers and serious adverse events reports.	PM	0	PM					

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			Agency	Storage	Total	9. Remarks				
	305920	Quality Assurance Records / Health Services This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections, reports by the staff, quality assurance committee notes, staff reviews and related correspondence.	FE+3	0	FE+3					
	305921	Solid Organ And Tissue Tracking Records Records related to the receipt and disposition of all deceased donor and external living non-university donor organs and tissues transplanted within the hospital. The record may include but is not limited to: solid organ or tissue type, the donor id number, the name and license number of the procurement or distribution facility which supplied the tissue/organ, recipient name and id number, name of transplanting doctor, date the organ/tissue was received by the hospital, and the date of the transplant. This information may be provided quarterly to an organ or tissue procurement service.	1	29	30	O				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.008	306001	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010. AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.057	306002	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC					
1.1.063	306003	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.067	306004	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	1	2	3		O			

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	306005	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
5.2.010	306006	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				
5.2.011	306007	Equipment Warranties	AC+1	0	AC+1	AC = After expiration.				
5.4.007	306008	Hazardous Materials Training Records Records of training given to employees in an agency hazard communications program.	5	0	5	Texas Health and Safety Code, 502.009(g).				
5.4.008	306009	Hazard Communication Plans	US+5	0	US+5	Texas Health and Safety Code, 502.009(g).				
5.4.009	306010	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.4.013	306011	Disaster Preparedness and Recovery Plans Emergency preparedness procedures in the event of severe weather or any potential damage to institutional property due to storms, riots, fires, droughts, floods, or other events which could affect normal operations and facilities within the jurisdiction of the institution. The preparedness portion may include but is not limited to: department specific procedures, a list of essential employees, housing, emergency numbers, etc. The recovery portion may include but is not limited to: diaries, logs, reports, photographs, notes which indicate or document what happened, when, and where, and related documentation and correspondence.	US	0	US	AC = Date of death. Note: Death Certificates are confidential under Texas Law for 25 years from the date of the event. If the death was less than 25 years ago, the certified copies can only be obtained by qualified applicants. A qualified applicant is defined as the registrant, or immediate family member either by blood or marriage, his or her guardian, or his or her legal representative. 25 TAC §181.11 Request For Personal Data.				
	306012	Autopsy Supporting Documents This records series consists of copies of hospital, nursing home, ambulance, or police homicide records used as reference materials for medical examiner investigations. These records, or portions of them, are used as factual foundation in concert with autopsy findings in the formation of cause-of-death opinions. This series may contain but is not limited to: cause of death worksheet, interview notes, and a duplicate of the Death Certificate, the original certificate is filed with the Bureau Of Vital Statistics.	AC+1	24	AC+25					
	306013	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					

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			Agency	Storage	Total				9. Remarks	
	306014	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE+5	0	FE+5					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3061 Pathology / Laboratory Medicine / Microbiology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	306101	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1.007	306102	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	0	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 University 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.			
1.1.008	306103	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

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			Agency	Storage	Total					
1.1.040	306104	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			
1.1.057	306105	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC		AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).			
1.1.063	306106	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					

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			Agency	Storage	Total	9. Remarks				
1.1.067	306107	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
1.1.070	306108	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			
1.3.001	306109	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	AC+2	O	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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1.3.002	306110	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.3.027	306111	Aptitude and Skills Tests Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US+2	0	US+2		29 CFR 1602.49 (State Universities). CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.			
3.3.028	306112	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	0	2		29 CFR 1602.49 (State Universities).			
3.4.006	306113	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4		40 TAC 815.106(i).			
3.4.007	306114	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+1	2	FE+3					
4.5.002	306115	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3		Monthly reconciliation and approval of expenses required by internal audit.			

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3061 Pathology / Laboratory Medicine / Microbiology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total					
5.1.012	306116	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	0	US+3					
5.2.005	306117	Calibration Records (Equipment or Instrument)	10	0	10					
5.2.010	306118	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				
5.2.018	306119	Quality Control Reports	2	0	2					
5.4.007	306120	Hazardous Materials Training Records Records of training given to employees in an agency hazard communications program.	5	0	5	Texas Health and Safety Code, 502.009(g).				
5.4.008	306121	Hazard Communication Plans	US+5	0	US+5	Texas Health and Safety Code, 502.009(g).				
5.4.009	306122	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	306123	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3061 Pathology / Laboratory Medicine / Microbiology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
	306124	Laboratory Test Requests This records series consists of all requisitions authorizing a laboratory to perform tests on a sample. This series may include but is not limited to: the patient's name or identification number, the name or identifier of who ordered the test, the date and time of the specimen collection, the source of the specimen, the patient's gender and age or date of birth, physician's signature, and pertinent clinical information. Test results received from external reference labs may be included.	2	5	7					
	306125	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE	5	FE+5					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3062 Pathology / Anatomic Pathology / Surgical Pathology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	306201	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.057	306202	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	306203	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.070	306204	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3062 Pathology / Anatomic Pathology / Surgical Pathology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.4.007	306205	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3	Retention is based on department policy.				
	306206	Laboratory Test Requests This records series consists of all requisitions authorizing a laboratory to perform tests on a sample. This series may include but is not limited to: the patient's name or identification number, the name or identifier of who ordered the test, the date and time of the specimen collection, the source of the specimen, the patient's gender and age or date of birth, physician's signature, and pertinent clinical information. Test results received from external reference labs may be included.	1	9	10					
	306207	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3063 SOM / Institute for Translational Sciences								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	306301	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1	306302	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1	306303	Special Lectures This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on catering arrangements; news releases; recordings and transcripts; photographs; and related documentation and correspondence.	CE	5	CE+5	O				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	306304	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	0	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 University 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.				
1.1.008	306305	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	306306	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	306307	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
1.1.063	306308	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.065	306309	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.			
1.1.067	306310	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
1.1.070	306311	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3063 SOM / Institute for Translational Sciences								
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			Agency	Storage	Total	9. Remarks				
1.3.001	306312	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	306313	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
2.1.007	306314	Software Programs Automated software applications and operating system files including job control language, program listing/source code, etc.	AC	0	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.				
3.3.020	306315	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3063 SOM / Institute for Translational Sciences								
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			Agency	Storage	Total					
3.4.006	306316	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	306317	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.7	306318	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+5	10	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				
5.1.004	306319	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.2.005	306320	Calibration Records (Equipment or Instrument)	10	0	10					
5.2.008	306321	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.	LA+3	0	LA+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3063 SOM / Institute for Translational Sciences								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total					
5.2.010	306322	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				
5.2.011	306323	Equipment Warranties	AC+1	0	AC+1	AC = After expiration.				
	306324	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3064 Pathology / Anatomic Pathology / Cytopathology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	306401	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	0	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 University 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.				
1.1.008	306402	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	306403	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.069	306404	<p>Reports - Activity</p> <p>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.</p>	1	0	1	<p>CAUTION: SEE item number 1.1.064.</p>				
1.1.070	306405	<p>Agency Rules, Policies, and Procedures - Final</p> <p>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.</p>	AC+3	0	AC+3	<p>O AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3064 Pathology / Anatomic Pathology / Cytopathology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.5.002	306406	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.6.002	306407	Reconciliations	FE+3	0	FE+3					
5.4.009	306408	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	306409	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				
	306410	Final Laboratory Test Reports This records series consists of the legally reproduced copies of each test result and preliminary reports on pathology testing. Documentation includes all the information recorded on the test requisition plus the specimen's accession number, the date and time the lab received the specimen, the condition and disposition of samples which do not meet the lab's acceptance standards, the records and dates of performance of each step in the patient testing leading to and including the final report.	10	0	10	42 CFR 493.1101.				
	306411	Laboratory Case Log The records series consists of a log of specimens received daily from patients which records the accession number, name of patient, requesting doctor, collection date, patient type, birth date, patient number.	1	1	2					

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			Agency	Storage	Total	9. Remarks				
	306412	Laboratory Test Requests This records series consists of all requisitions authorizing a laboratory to perform tests on a sample. This series may include but is not limited to: the patient's name or identification number, the name or identifier of who ordered the test, the date and time of the specimen collection, the source of the specimen, the patient's gender and age or date of birth, physician's signature, and pertinent clinical information. Test results received from external reference labs may be included.	1	6	7					
	306413	Quality Assurance Records / Health Services This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections, reports by the staff, quality assurance committee notes, staff reviews and related correspondence.	FE+3	0	FE+3					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	306501	Media Consent Forms This series authorizes the use of audio or visual media. Records may include but are not limited to the signed consent form and related correspondence.	AC+2	0	AC+2	O	AC = After authorization.			
1.1.007	306502	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	0	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 University 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.			
1.1.008	306503	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
1.1.013	306504	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.043	306505	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	306506	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	306507	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
3.4.006	306508	<p>Time Cards and Time Sheets</p> <p>A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.</p>	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	306509	<p>Time Off and/or Sick Leave Requests</p> <p>This records series may include but not be limited to Leave Request Forms and other supporting documentation.</p>	FE+3	0	FE+3					

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			Agency	Storage	Total	9. Remarks				
	306510	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE	5	FE+5					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	307101	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	0	2					
1.1.013	307102	Calendars, Appointment Books 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	0	CE+1	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3071 HR / Employee Health Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	307103	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.067	307104	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				
1.1.070	307105	<p>Agency Rules, Policies, and Procedures - Final</p> <p>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.</p>	AC+3	0	AC+3	<p>O AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>				

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			Agency	Storage	Total				9. Remarks	
5.1.014	307106	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	0	US+1					
5.2.005	307107	Calibration Records (Equipment or Instrument)	10	0	10					
5.4	307108	Employee Health Records This series documents the medical fitness and health of all University employees. This series may include but is not limited to: physician medical statement, health assessment, immunization records, exposure to hazardous conditions such as Class B and C carcinogenic compounds, asbestos, lead, excessive noise, related documentation and correspondence.	AC+15	15	AC+30	AC = After separation for records documenting persons contacting or removing hazardous materials. 29 CFR 1910.1020 (d)(1)(i)-(iii).				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	307201	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1	307202	Reports And Studies - Special Activity This series documents the activities of a University department. Examples may include the completion of surveys and questionnaires, compilation of special studies for professional or academic associations, and special mailings. This series may include but is not limited to: arrangements documentation; working papers; questionnaires; survey forms; study designs; reports; and related documentation and correspondence.	PM	0	PM	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. Retention is based on Department policy.			
1.1.007	307203	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	0	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 University Archives when these records have met their retention periods. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.			

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			Agency	Storage	Total	9. Remarks				
1.1.008	307204	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	0	2					
1.1.013	307205	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.040	307206	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

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			Agency	Storage	Total	9. Remarks				
1.1.057	307207	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	307208	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.065	307209	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	307210	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.001	307211	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	307212	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.4.006	307213	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	307214	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3072 Healthcare Epidemiology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.4.001	307215	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 Workers' Compensation Commission or its predecessors or maintained internally on accident frequency.	CE+3	7	CE+10	29 CFR 1904.33. The Texas Department of Insurance retains copies of the reports submitted to it for 50 years. Retention is based on department policy.				
	307216	Infection Control Training Records This series documents employee participation in infection control training courses or programs. Records may include but are not limited to: course agendas, descriptions, and syllabi; course outlines and materials; enrollment and attendance records; training requests and authorizations; certificates of completion; and related documentation and correspondence.	5	0	5					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3073 Radiology Service / Nuclear Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	307301	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	0	2					
1.1.057	307302	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC					
1.1.070	307303	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O				
3.3.020	307304	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3073 Radiology Service / Nuclear Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.4.006	307305	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i). Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year. AC = After completion of study.				
3.4.007	307306	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
5.1.004	307307	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	0	US					
5.2.005	307308	Calibration Records (Equipment or Instrument)	10	0	10					
5.2.018	307309	Quality Control Reports	2	0	2					
5.3.005	307310	Packing Slips This series documents the receipt of equipment, supplies, other items, and services from vendors. The series includes: packing slips, shipping and container lists, and bills of lading.	AV	0	AV					
	307311	Medical Research / Participant This series includes records collected for research purposes when UTMB is a clinical investigation site for an outside entity conducting the research. Records may include but are not limited to: the research services agreement with the outside entity and any research data collected and submitted to that outside entity for its study as well as any related documentation and correspondence.	AC+4	0	AC+4					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3074 Pharmaceutical Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	307401	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	307402	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	1	5	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1.007	307403	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	0	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 University Archives when these records have met their retention periods. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3074 Pharmaceutical Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	307404	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.057	307405	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	307406	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.070	307407	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.1.027	307408	Training and Educational Achievement Records (Individual) Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC+5	0	AC+5	AC = Termination of employment.				
3.3.020	307409	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	FE+2	2	FE+4	Retention is based on department policy.				
3.3.030	307410	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	US+2	CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.				
4.1	307411	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+7	0	FE+7					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3074 Pharmaceutical Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.1.002	307412	Billing Detail Provides itemized billing record for services rendered.	FE	9	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				
4.2.005	307413	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	9	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.5.002	307414	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3074 Pharmaceutical Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.7	307415	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+1	14	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				
5.1.012	307416	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	0	US+3					
	307417	Assistantship / Fellowship / Traineeship Applications / Denied A record of applicants for grant, contract or state-funded assistantships, fellowships or traineeships who were not awarded the position. Records may include but are not limited to: applications, current curriculum vitae, list of references, letter of support, written description of research training background and current research interests, and any related correspondence.	AC+2	0	AC+2	AC = After completion of application process.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3074 Pharmaceutical Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	307418	Drug Assistance Applications This records series contains applications submitted on behalf of a patient to a drug company's assistance program. This series may include but is not limited to: program application forms, validation letters and forms for reapplying, and any paperwork that may be included with the medications when they are sent to the department and subsequently dispensed to the patient.	US	1	US+1					
	307419	Drug Recall Notices Food and Drug Administration (FDA) and manufacturer recalls on drugs. This records series may include but is not limited to: reportable occurrences of drug use, recalls through the manufacturer, and responses by departments.	2	3	5					
	307420	Licensure Records / Texas State Board of Pharmacy License This series documents the professional and regulatory issuance of credentials to facilities providing pharmaceutical services at the University. This series may include but is not limited to: license applications, Pharmacy Board Retail Drug Outlet/Controlled Substance Registration (license) and inspection reports, Drug Enforcement Administration (license), Department of Public Safety (license), and related correspondence.	US+2	0	US+2	22 TAC § 291.75.				
	307421	Medication Profiles Profiles for chemotherapy patients. These profiles tell what drugs are given, the amount of each drug given, the date and time given and who administered the drugs.	5	0	5					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3074 Pharmaceutical Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
	307422	Pharmacy Controlled Substance Records Consists of records that document the use and disposition of controlled substances. Including but not limited to: audits, inventories, and transfers between pharmacies, prescriptions, and dispositions of controlled substances, night medication sheets, and proof of use sheets.	1	2	3					
	307423	Pharmacy Prescription Dispensation Records / Outpatient This series is used to provide an individual, daily summary, and annual summary record of initial drug dispensation and refills administered by the department as required by the Texas State Pharmacy Board. This series may include but is not limited to: prescription slips, in-house computer-generated Rx registers, controlled substance reports, and database purge reports.	AC+1	9	AC+10	AC = Termination date of the Provider Agreement, final date of any Part D Plan Sponsor's contract with Caremark (CMS) to offer a Medicare Part D Plan, or after the date of completion of any CMS audit of a Part D Plan Sponsor, whichever is later. Retention is based on Medicare part D prescription insurance plans.				
	307424	Pharmacy Prescription Dispensation Records / TDCJ Discharge This series is used to provide an individual, daily summary, and annual summary record of initial drug dispensation and refills administered by the department as required by the Texas State Pharmacy Board. This series may include but is not limited to: prescription slips, in-house computer-generated Rx registers, controlled substance reports, and database purge reports.	1	2	3					
	307425	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+50	0	AC+50	AC = Completion of training.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3076 Radiation Oncology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	307604	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	0	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 University 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.				
1.1.008	307605	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.	1	1	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks	O			
1.1.013	307606	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.023	307607	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I	Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.			
1.1.024	307608	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.			
1.1.040	307609	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.043	307610	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					
1.1.057	307611	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	307612	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3076 Radiation Oncology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.067	307613	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
1.1.070	307614	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			
1.3.001	307615	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	AC+2	O	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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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.002	307616	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.3.020	307617	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.3.027	307618	Aptitude and Skills Tests Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US+2	0	US+2		29 CFR 1602.49 (State Universities). CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.			
3.3.028	307619	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	0	2		29 CFR 1602.49 (State Universities).			
3.4.006	307620	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+1	3	FE+4		40 TAC 815.106(i).			
3.4.007	307621	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+1	2	FE+3					

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			Agency	Storage	Total	9. Remarks				
4.5.002	307622	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.7	307623	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				
4.7	307624	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC	15	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				

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			Agency	Storage	Total				9. Remarks	
4.7	307625	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.1.004	307626	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.2.005	307627	Calibration Records (Equipment or Instrument)	10	0	10					
5.2.010	307628	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				

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			Agency	Storage	Total				9. Remarks	
5.2.018	307629	Quality Control Reports	2	0	2					
5.4.009	307630	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	307631	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				
	307632	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				
	307633	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					
	307634	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+50	0	AC+50	AC = Completion of training.				

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	307635	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE+1	4	FE+5					
	307636	Training & License Records / Medical This records series consists of the credentials, licenses, certifications, registrations, and permits for medical staff providing patient care, consulting services, and home health including formal training, on the job education, and continuing educational credits.	AC+7	0	AC+7	AC = After separation or termination of employment.				
	307637	Internship Program Records This series is used to provide a record of the administration of student internship, practicum, clinical rotation, and cooperative education programs. Programs may be within the institution or off campus and for class credit and/or pay. Records may include but are not limited to: applications for internships inside and external to the institution, agreements with departments, postings/notices, student resumes, transcripts, copies of contracts, proposed institution listings, notes, and related documentation and correspondence.	AC+5	0	AC+5	AC = After graduation or date of last attendance.				

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			Agency	Storage	Total	9. Remarks				
1.1	307901	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O				
1.1	307902	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O				
1.1	307903	Reports And Studies - Special Activity This series documents the activities of a University department. Examples may include the completion of surveys and questionnaires, compilation of special studies for professional or academic associations, and special mailings. This series may include but is not limited to: arrangements documentation; working papers; questionnaires; survey forms; study designs; reports; and related documentation and correspondence.	1	9	10	O				

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1.1.007	307904	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	0	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 University 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.				
1.1.008	307905	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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			Agency	Storage	Total					
1.1.013	307906	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.023	307907	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I	Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.			
1.1.038	307908	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3		AC = After completion of survey. SEE item number 1.1.067 for summary reports compiled from customer surveys.			
1.1.040	307909	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			

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1.1.043	307910	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					
1.1.057	307911	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	307912	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.065	307913	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.				

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			Agency	Storage	Total					
1.1.067	307914	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
1.1.069	307915	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	0	1		CAUTION: SEE item number 1.1.064.			
1.1.070	307916	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			
1.2.003	307917	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	0	AC+1		AC = Discontinuance of use of form.			

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AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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1.3.001	307918	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	307919	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.4.006	307920	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	307921	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3079 Rehabilitation Services / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.1	307922	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+7	0	FE+7					
4.2.002	307923	Cash Receipts Includes receipts for fees (permits, licenses, renewals, etc.)	FE+3	0	FE+3					
4.2.005	307924	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.6.002	307925	Reconciliations	FE+3	0	FE+3					
5.1.001	307926	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+6	0	AC+6		AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2).			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded		Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3079 Rehabilitation Services / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total					
5.1.012	307927	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	0	US+3					
5.2.008	307928	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.	LA+3	0	LA+3					
5.2.010	307929	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				
5.2.011	307930	Equipment Warranties	AC+1	0	AC+1	AC = After expiration.				
5.4.003	307931	Inspection Records Fire, safety, and other inspection records of agency facilities and equipment.	AC+3	0	AC+3	AC = Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency. CAUTION: Does not include inspection reports of building construction. SEE item number 5.2.028.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3079 Rehabilitation Services / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
	307932	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE	5	FE+5					
	307933	Training & License Records / Medical This records series consists of the credentials, licenses, certifications, registrations, and permits for medical staff providing patient care, consulting services, and home health including formal training, on the job education, and continuing educational credits.	AC+7	0	AC+7	AC = After separation or termination of employment.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3084 Laundry								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	308401	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	0	2					
1.1.057	308402	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC					
1.1.067	308403	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3084 Laundry								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	308404	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.3.020	308405	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
5.1.014	308406	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	0	US+1					
5.2.010	308407	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				
5.2.011	308408	Equipment Warranties	AC+1	0	AC+1	AC = After expiration.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3086 Patient Placement Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	308601	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	0	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 University 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.				
1.1.008	308602	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3086 Patient Placement Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	308603	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.043	308604	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3086 Patient Placement Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	308605	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	308606	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
3.1.014	308607	Employment Selection Records May include but not be limited to: 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	0	2	29 CFR 1602.49(a) [State Universities]. CAUTION: Does not include criminal history checks. SEE item number 3.1.026.				
3.4.006	308608	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3086 Patient Placement Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
3.4.007	308609	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.5.006	308610	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3					
5.1.014	308611	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	0	US+1					
5.2.008	308612	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.	LA+3	0	LA+3					
	308613	Medical Logs / Transfer Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	AC+1	4	AC+5	AC = Date of transfer. Retention is based on U.S. Code 42 U.S.C. § 1395dd.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3087 Chronic Home Dialysis and Acute Dialysis								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	308701	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	308702	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1.007	308703	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	0	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 University Archives when these records have met their retention periods. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3087 Chronic Home Dialysis and Acute Dialysis								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	308704	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.040	308705	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				
1.1.043	308706	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	308707	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	308708	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.065	308709	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	308710	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3087 Chronic Home Dialysis and Acute Dialysis								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	308711	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.3.020	308712	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
4.2.005	308713	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.5.002	308714	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.5.006	308715	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3					
4.6.002	308716	Reconciliations	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3087 Chronic Home Dialysis and Acute Dialysis								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.2.008	308717	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.	LA+3	0	LA+3					
5.2.018	308718	Quality Control Reports	2	0	2					
5.4	308719	Licenses, Registrations, and Permits / Dialysis Services This series is used to document the licensing and registration of the institution by federal, state, or local agencies to provide pediatric and adult chronic and home training dialysis services.	US+1	0	US+1					
	308720	Drug Recall Notices Food and Drug Administration (FDA) and manufacturer recalls on drugs. This records series may include but is not limited to: reportable occurrences of drug use, recalls through the manufacturer, and responses by departments.	5	0	5					
	308721	Medical Device Recall Notices And Responses Food and Drug Administration (FDA), Safety Medical Device Act (SMDA) and manufacturer recalls on all medical, food and drug devices. This records series may include but is not limited to, reportable occurrences on devices, recalls through the manufacturer and responses by UTMB departments.	15	0	15	CAUTION: Retention requirement is 15 years or two years after the expected life of the device, whichever is longer. 21 CFR 806.20(c) and 21 CFR 821.60.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3088 Southeast Texas Poison Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	308801	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1.007	308802	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	0	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 University 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.			
1.1.008	308803	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3088 Southeast Texas Poison Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	308804	Calendars, Appointment Books 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	0	CE+1	O				
1.1.019	308805	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	0	2	O				
1.1.038	308806	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3					
1.1.043	308807	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3088 Southeast Texas Poison Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	308808	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	308809	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.067	308810	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	O	<p>ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>			
1.1.068	308811	<p>Reports on Performance Measures</p> <p>Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.</p>	AC+6	0	AC+6		<p>AC = September 1 of odd-numbered calendar years.</p>			

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	308812	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.3.020	308813	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.3.023	308814	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	0	FE+3					
3.3.030	308815	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	0	US+2	CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.				
3.4.006	308816	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+1	3	FE+4	40 TAC 815.106(i).				
3.4.007	308817	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3088 Southeast Texas Poison Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
5.2.018	308823	Quality Control Reports	2	0	2					
	308824	Equipment Usage Log <small>This series is used to monitor the loan and return of university property such as recreational equipment and lockers and is also used to determine usage trends as an aid to purchase and replacement decisions. Records may include but are not limited to: locker agreements; equipment loan forms; usage logs; and related correspondence.</small>	2	0	2					
	308825	Medical Opinions and Advice <small>This records series documents medical opinions and advice provided by University physicians to organizations outside of the University.</small>	2	0	2					
	308826	Poison Center Case Sheets <small>This records series consists of a record of calls made to the Poison Control Center documenting individual poisoning or suspected poisoning incidents. Information may include date/time called, location of call, case number, name of individual, ingestion, treatment and medical outcome.</small>	1	20	21					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3092 Patient Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	309201	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1.006	309202	Complaint Records Complaints received by the agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+2	0	AC+2					
1.1.006	309203	Complaint Records / On Behalf Of Minors Complaints received by the agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC	2	AC+2					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3092 Patient Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	309204	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	0	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 University 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.				
1.1.008	309205	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3092 Patient Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	309206	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	309207	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3092 Patient Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
1.1.063	309208	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.067	309209	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
1.1.070	309210	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			
3.4.006	309211	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4		40 TAC 815.106(i).			
3.4.007	309212	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.5.002	309213	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3		Monthly reconciliation and approval of expenses required by internal audit.			

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.6.002	309214	Reconciliations	FE+3	0	FE+3					
	309215	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3093 Transplant Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	309301	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	309302	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1	309303	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3093 Transplant Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	309304	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	0	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 University 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.				
1.1.008	309305	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.023	309306	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

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O - Review Required Before Disposal



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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.040	309307	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				
1.1.043	309308	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					
1.1.057	309309	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3093 Transplant Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
1.1.063	309310	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.065	309311	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.			
1.1.067	309312	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
1.1.070	309313	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3093 Transplant Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.001	309314	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	309315	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.3.020	309316	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
4.5.002	309317	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3093 Transplant Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.1.004	309318	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.2.018	309319	Quality Control Reports	2	0	2					
5.5.002	309320	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.	FE+9	0	FE+9				UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.	
	309321	Client Psychological And Psychiatric Records This series documents all clients who are provided psychological and psychiatric services. Clinicians provide treatment concerning personal problems, academic concerns, and career concerns. The psychiatric consultant provides psychiatric care. Records may include but are not limited to: testing materials, extensive notes made by providers concerning the assessment, diagnosis, treatment and contacts (written, telephone, or in person) with each client, referral letters, release of information agreements, letters to agencies or others concerning the clients, and related documentation.	AC+7	0	AC+7	AC = No client contact for 3 months or formal termination of services. For minor patients, keep AC+7 or until age 21, whichever is longer. 22 TAC 465.22(d)2. The Texas State Board Of Examiners Of Psychologists Rules Of Practice.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3095 Ambulatory Operations / Access Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.008	309501	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.038	309502	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3	AC = After completion of survey. SEE item number 1.1.067 for summary reports compiled from customer surveys.				
1.1.057	309503	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	309504	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3095 Ambulatory Operations / Access Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.065	309505	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.			
1.1.067	309506	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
1.1.070	309507	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			
2.2.016	309508	Software Registrations, Warranties And License Agreements	LA+3	0	LA+3					
3.1.020	309509	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	0	AC+5		AC = Termination of corrective action. CAUTION: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from this series used to support disciplinary action must be retained for the minimum retention period described by item number 3.1.021.			

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal
CE - Calendar Year End FE - Fiscal Year End	PM - Permanent US - Until Superseded
LA - Life Of Asset MO - Months	



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3095 Ambulatory Operations / Access Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
3.1.021	309510	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	0	AC+5	AC = Termination of employment.				
3.1.027	309511	Training and Educational Achievement Records (Individual) Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC+5	0	AC+5	AC = Termination of employment.				
3.3.020	309512	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.4.007	309513	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
5.1.004	309514	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.5.003	309515	Station Activity Reports Internal listing of all incoming/outgoing telephone activity to individual telephone stations.	AV	0	AV					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3103 Professional Liability And Review Committee								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	310301	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1.007	310302	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	0	4	O				
1.1.008	310303	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	0	2					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3103 Professional Liability And Review Committee								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	310304	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.070	310305	<p>Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.</p>	AC+3	0	AC+3	<p>O AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>				
3.4.007	310306	<p>Time Off and/or Sick Leave Requests</p> <p>This records series may include but not be limited to Leave Request Forms and other supporting documentation.</p>	FE+3	0	FE+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3105 OB/GYN / Gynecology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	310501	Special Lectures This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on catering arrangements; news releases; recordings and transcripts; photographs; and related documentation and correspondence.	CE+5	0	CE+5	O				
1.1.007	310502	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	0	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 University 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.			
1.1.008	310503	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3105 OB/GYN / Gynecology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	310504	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.040	310505	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3105 OB/GYN / Gynecology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	310506	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.3.001	310507	<p>State Publications</p> <p>One copy of each state publication as defined on page xi of the introduction 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.</p>	AC+2	0	AC+2	<p>AC = Until superseded or obsolete.</p> <p>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).</p>				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3105 OB/GYN / Gynecology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.002	310508	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.3.020	310509	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
4.7	310510	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2		AC = After notification.			
4.7	310511	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+5	10	AC+15		AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3105 OB/GYN / Gynecology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.7	310512	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
	310513	Medical Treatment Plans / Teaching Files Medical treatment plans used primarily for teaching purposes. Records may include but are not limited to: copies of patient work-up forms, diagnosis, treatment and management plan for each patient that is seen over a 2 week period. Patient demographics, medication list, and insurance information may also be included.	AC+5	0	AC+5	AC = After term in which the course is taught.				
	310514	Regulated Research Data Research documentation and raw data obtained in the course of a study. May include Investigators' Notebooks for New Drugs (laboratory notes documenting the results of experiments involving new drugs), patient files, case files, and other records of the dates, quantity and use of a new drug on subjects.	AC+15	0	AC+15	AC = After completion of study. 21 CFR § 312.57.				

Retention Codes (Field 7)

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CE - Calendar Year End
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MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3105 OB/GYN / Gynecology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	310515	Research Data for Research that is Exempt from Human Subjects Review Research documentation and data obtained during the course of a study, which either does not use humans as study subjects or which is exempt from review or subject to expedited review by the Human Subjects Review Committee. May include anonymous surveys or questionnaires, research data from research using animal subjects, etc.	AC+7	0	AC+7	AC = After completion of study.				

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Archival Codes (Field 8)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3107 Otolaryngology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.024	310708	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.				
1.1.038	310709	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.				
1.1.040	310710	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3107 Otolaryngology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	310711	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	310712	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.065	310713	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	310714	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded		Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3107 Otolaryngology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	310715	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
1.3.001	310716	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	310717	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.3.020	310718	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3107 Otolaryngology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.4.006	310719	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	310720	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.1.002	310721	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				
4.2.001	310722	Cash Deposit Vouchers Cash deposit slips.	FE+3	0	FE+3					
4.5.002	310723	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3107 Otolaryngology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.7	310724	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
	310725	Medical Opinions and Advice This records series documents medical opinions and advice provided by University physicians to organizations outside of the University.	2	0	2					
	310726	Medical Research / Clinical Trials Not Associated With Grants Research data and documentation gathered or created in the course of a clinical trial in which the University is the primary sponsor. May include case reports, shipping records, research data from investigators, internal research data, study protocols/designs and amendments, FDA forms, pharmaceutical studies, findings, research papers and serious adverse events reports.	PM	0	PM					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3107 Otolaryngology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	310727	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+50	0	AC+50	AC = Completion of training.				
	310728	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE+5	0	FE+5					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3108 SOM / PMCH / Clinical Preventive Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	310801	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	310802	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.			
1.1	310803	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3108 SOM / PMCH / Clinical Preventive Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	310804	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	0	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 University 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.				
1.1.008	310805	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3108 SOM / PMCH / Clinical Preventive Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	310806	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.057	310807	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC		AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3108 SOM / PMCH / Clinical Preventive Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks	O			
1.1.063	310808	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.3.001	310809	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).			
1.3.002	310810	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.3.020	310811	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.3.030	310812	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	0	US+2		CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3108 SOM / PMCH / Clinical Preventive Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.4.007	310813	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.2	310814	Donation File Deposits This series documents the donation and deposit of funds from individuals and foundations. This records series may include but is not limited to: bank deposit slips, copies of checks, deposit receipts, and related correspondence.	FE+3	0	FE+3	O				
4.5.002	310815	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3		Monthly reconciliation and approval of expenses required by internal audit.			
4.7	310816	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2		AC = After notification.			

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
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Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3108 SOM / PMCH / Clinical Preventive Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.7	310817	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
	310818	Admissions Records / Denied This series documents the applications process for individuals that have been denied admission to the University or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC+1	0	AC+1	AC = After application term.				
	310819	Honors / Awards / Eligibility And History This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. The series may include but is not limited to: eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases.	PM	0	PM					

Retention Codes (Field 7)	Archival Codes (Field 8)
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3108 SOM / PMCH / Clinical Preventive Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	310820	Honors / Awards / Supporting Documentation Records that document the process of selecting honors and award winners. Records may include but are not limited to: applications, nomination letters, recommendations, letters of award notification or denial, letters accepting or declining awards, vote tallies, transcripts, CV's, essays, course evaluations, ranking sheets, and related documentation and correspondence.	FE+3	0	FE+3					
	310821	Medical Research / Clinical Trials Not Associated With Grants Research data and documentation gathered or created in the course of a clinical trial in which the University is the primary sponsor. May include case reports, shipping records, research data from investigators, internal research data, study protocols/ designs and amendments, FDA forms, pharmaceutical studies, findings, research papers and serious adverse events reports.	PM	0	PM					
	310822	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+50	0	AC+50	AC = Completion of training.				
	310823	Recruitment Records This series provides a record of recruiter visits to the campus to conduct job interviews. Records may include but are not limited to: scheduling calendars; recruiter schedules; affirmative action statements; recruiter information forms, list of interviewees, feedback forms from recruiters, and related documentation and correspondence.	2	0	2	I				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3109 Nursing Services / Pulmonary Care Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.008	310901	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010. AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.057	310902	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC					
1.1.063	310903	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.070	310904	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3		O			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3109 Nursing Services / Pulmonary Care Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.1.027	310905	Training and Educational Achievement Records (Individual) Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC+5	0	AC+5	AC = Termination of employment.				
3.4.006	310906	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+1	3	FE+4	40 TAC 815.106(i).				
3.4.007	310907	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+1	2	FE+3					
4.6.002	310908	Reconciliations	FE+3	0	FE+3					
5.2.018	310909	Quality Control Reports	1	1	2					
	310910	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	1	2	3					

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Archival Codes (Field 8)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3111 SOM / Sealy Center On Aging								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	311101	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.			
1.1.007	311102	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	0	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 University 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.			
1.1.008	311103	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3111 SOM / Sealy Center On Aging								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	311104	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	311105	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3111 SOM / Sealy Center On Aging								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.001	311106	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	311107	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.3.025	311108	Job Procedure Records Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US+3	0	US+3					
3.4.006	311109	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	311110	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3111 SOM / Sealy Center On Aging								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.6.002	311111	Reconciliations	FE+3	0	FE+3					
4.7	311112	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				
4.7	311113	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
	311114	Honors / Awards / Eligibility And History This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. The series may include but is not limited to: eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases.	PM	0	PM					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3111 SOM / Sealy Center On Aging								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	311115	Honors / Awards / Supporting Documentation Records that document the process of selecting honors and award winners. Records may include but are not limited to: applications, nomination letters, recommendations, letters of award notification or denial, letters accepting or declining awards, vote tallies, transcripts, CV's, essays, course evaluations, ranking sheets, and related documentation and correspondence.	FE+3	0	FE+3					
	311116	Research Data for Research that is Exempt from Human Subjects Review Research documentation and data obtained during the course of a study, which either does not use humans as study subjects or which is exempt from review or subject to expedited review by the Human Subjects Review Committee. May include anonymous surveys or questionnaires, research data from research using animal subjects, etc.	AC+7	0	AC+7	AC = After completion of study.				
	311117	UTMB Sponsored Medical Research / Human (Regulated By FDA) This records series includes UTMB sponsored human related medical research, experiments and data collected. Includes the signed informed consent form and any data safety monitoring reports.	AC+15	0	AC+15	AC = After last contact with subject.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3112 SOM / Willied Body Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.006	311201	Complaint Records Complaints received by the agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+2	0	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 (litigation files).			
1.1.007	311202	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	0	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 University 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.			
1.1.008	311203	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3112 SOM / Willied Body Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	311204	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	311205	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.065	311206	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	311207	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	5	0	5	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p> <p>Retention is based on 25 TAC §479.2</p>				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3112 SOM / Willied Body Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	311208	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
4.1.002	311209	Billing Detail Provides itemized billing record for services rendered.	FE+1	8	FE+9	 UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				
5.1.004	311210	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	0	US	 Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal
CE - Calendar Year End FE - Fiscal Year End	
LA - Life Of Asset MO - Months	
PM - Permanent US - Until Superseded	



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3112 SOM / Willied Body Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
5.4	311211	Inspection Records - Biological And Chemical This series documents inspections done by Biological And Chemical Safety in the course of routine business, and is used by the institution to correct and analyze safety problems and to document compliance with regulations. This series may include but is not limited to: inspection sheets which show date of inspection, notation of violations, and suggested corrective measures, reports acknowledging compliance with regulations, authorizing signatures, and any related information, documentation and correspondence.	AC+5	0	AC+5	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. Retention is based on 25 TAC §479.3				
5.4.012	311212	Security Access Records Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency facilities, equipment, or automated systems.	AC+2	0	AC+2	AC = Until superseded, date of expiration, or date of termination, whichever sooner.				
	311213	Death Records This records series consists of certified copies of death certificates, the State Anatomical Board Form B, records that document the transfer of body and/or specimen to a facility.	PM	0	PM					
	311214	Donor Records - Medical This records series consists of completed bequeathal forms and cadaver information for people who have donated their bodies to the University of Texas Medical Branch.	PM	0	PM					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3114 Emergency Transport Fund								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	311401	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	0	2					
1.1.057	311402	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC					
1.1.070	311403	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3133 Cancer Center / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	313301	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1.007	313302	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	0	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 University 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.				
1.1.008	313303	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3133 Cancer Center / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	313304	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.040	313305	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3133 Cancer Center / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	313306	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	313307	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.070	313308	<p>Agency Rules, Policies, and Procedures - Final</p> <p>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.</p>	AC+3	0	AC+3	<p>O AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3133 Cancer Center / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.3.001	313309	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	313310	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.4.007	313311	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.1	313312	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+7	0	FE+7					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3133 Cancer Center / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.1.002	313313	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				
4.5.002	313314	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.7	313315	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3133 Cancer Center / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.7	313316	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.1.012	313317	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	0	US+3					
5.2.010	313318	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				
5.4.009	313319	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3134 OLRA / Office Of Institutional Compliance								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	313401	Compliance / Reported Allegations, Investigations And Reviews US Federal Sentencing Guidelines mandates requirements for an effective compliance program, including a mechanism to report allegations of wrong doing, investigations of reported allegations and conducting assurance activities. Documents may include but are not limited to allegations reported to the Fraud, Abuse and Privacy hotline, assurance activity documentation, supporting documentation from the Institutional Compliance review, final report and related correspondence.	FE	10	FE+10					
1.1	313402	Compliance Opinions And Advice This records series may include compliance opinions provided by the Office of Institutional Compliance and legal opinions received from internal or external legal counsel, including any request eliciting the opinions.	AV	0	AV	O	CAUTION: Does not include legal opinion or advice rendered on a matter in litigation or with regard to pending litigation.			
1.1	313403	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1	313404	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 3134 OLRA / Office Of Institutional Compliance

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number
			Agency	Storage	Total			
1.1	313405	Training / Tracking Records / HIPAA This records series documents annual general compliance and Health Information Portability and Accountability Act training requirements and completion of training for all institutional employees.	FE+7	0	FE+7			
1.1.002	313406	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+4	6	AC+10			
1.1.007	313407	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	0	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 University 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.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3134 OLRA / Office Of Institutional Compliance								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.008	313408	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			
1.1.013	313409	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.024	313410	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+6	0	AC+6	O	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival. Retention is based on HIPAA PART 164.530(J)(2)			
1.1.038	313411	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3		AC = After completion of survey. SEE item number 1.1.067 for summary reports compiled from customer surveys.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3134 OLRA / Office Of Institutional Compliance								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.040	313412	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				
1.1.043	313413	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+6	0	US+6	Retention is based on HIPAA PART 164.530(J)(2)				
1.1.057	313414	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3134 OLRA / Office Of Institutional Compliance								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.067	313415	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
1.1.070	313416	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			
3.4.006	313417	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4		40 TAC 815.106(i).			
3.4.007	313418	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3134 OLRA / Office Of Institutional Compliance								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.1.002	313419	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	<p>UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.</p> <p>CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.</p>				
4.2.005	313420	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9	<p>UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.</p>				
4.6.002	313421	Reconciliations	FE+3	0	FE+3					
5.1.001	313422	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+6	0	AC+6	<p>AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.</p> <p>45 CFR §164.530(j)(2).</p>				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3135 BOF / Supply Chain / Hospital Operations Materials Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	313501	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	0	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 University 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.				
1.1.008	313502	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.023	313503	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3135 BOF / Supply Chain / Hospital Operations Materials Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.043	313504	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					
1.1.057	313505	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	313506	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3135 BOF / Supply Chain / Hospital Operations Materials Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	313507	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.3.020	313508	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
4.5.002	313509	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
5.2.014	313510	Inventory - Annual Physical Property, equipment, and supply verification.	FE+3	0	FE+3					
5.2.018	313511	Quality Control Reports	2	0	2					
5.2.020	313512	Supply Usage Records This series is used to document supply usage and charges. This series may include but is not limited to: stock printouts, inventory reports, and related documentation and correspondence.	FE+1	0	FE+1					
5.3.005	313513	Packing Slips This series documents the receipt of equipment, supplies, other items, and services from vendors. The series includes: packing slips, shipping and container lists, and bills of lading.	AV	0	AV					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3135 BOF / Supply Chain / Hospital Operations Materials Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.4.012	313514	Security Access Records Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency facilities, equipment, or automated systems.	AC+2	0	AC+2	AC = Until superseded, date of expiration, or date of termination, whichever sooner.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3136 PMCH / Aerospace Medicine Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	313601	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	0	2					
1.1.013	313602	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3136 PMCH / Aerospace Medicine Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	313603	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.067	313604	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	7	0	7	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p> <p>Retention is based on department policy.</p>				
1.1.070	313605	<p>Agency Rules, Policies, and Procedures - Final</p> <p>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.</p>	AC+3	0	AC+3	<p>O AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3136 PMCH / Aerospace Medicine Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	313606	FAA and Commercial Spaceflight Physicals and Health Assessments Physical examination of an applicant that periodic monitoring of health or fitness is required. This series may include but is not limited to FAA Certification Physicals, Commercial Spaceflight Physicals, Fit-For-Duty exams, and other related records and correspondence.	AC+7	0	AC+7	AC = Date of Last Treatment. 22 TAC 165.1(b)(1). FAA Guide for Aviation Medical Examiners.				
	313607	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					
	313608	Medical Opinions and Advice This records series documents medical opinions and advice provided by University physicians to organizations outside of the University.	2	0	2					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3137 Pathology / Molecular Diagnostics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	313701	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1.007	313702	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	0	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 University 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.			
1.1.008	313703	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3137 Pathology / Molecular Diagnostics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	313704	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	313705	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3137 Pathology / Molecular Diagnostics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.065	313706	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	AV					
1.1.067	313707	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O				
1.1.070	313708	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3137 Pathology / Molecular Diagnostics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.001	313709	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	313710	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.1.027	313711	Training and Educational Achievement Records (Individual) Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC+5	0	AC+5	AC = Termination of employment.				
3.3.025	313712	Job Procedure Records Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US+3	0	US+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3137 Pathology / Molecular Diagnostics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.7	313713	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				
4.7	313714	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.2.005	313715	Calibration Records (Equipment or Instrument)	10	0	10					
5.2.008	313716	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.	LA+3	0	LA+3					
5.4.009	313717	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	313718	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal
CE - Calendar Year End FE - Fiscal Year End	
LA - Life Of Asset MO - Months	
PM - Permanent US - Until Superseded	



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3137 Pathology / Molecular Diagnostics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	313719	Final Laboratory Test Reports This records series consists of the legally reproduced copies of each test result and preliminary reports on pathology testing. Documentation includes all the information recorded on the test requisition plus the specimen's accession number, the date and time the lab received the specimen, the condition and disposition of samples which do not meet the lab's acceptance standards, the records and dates of performance of each step in the patient testing leading to and including the final report.	1	9	10	42 CFR 493.1101.				
	313720	Laboratory Test Requests This records series consists of all requisitions authorizing a laboratory to perform tests on a sample. This series may include but is not limited to: the patient's name or identification number, the name or identifier of who ordered the test, the date and time of the specimen collection, the source of the specimen, the patient's gender and age or date of birth, physician's signature, and pertinent clinical information. Test results received from external reference labs may be included.	1	6	7					
	313721	Quality Assurance Records / Health Services This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections, reports by the staff, quality assurance committee notes, staff reviews and related correspondence.	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3138 Nursing Services / Critical Care Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	313801	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1.008	313802	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			
1.1.048	313803	Medical Liability Claims And Litigation Files Records related to threatened or asserted medical litigation or investigation. This series may include but is not limited to: discovery, legal counsel work-products, evidence files, exposure records, exhibits, final judgments, correspondence, financial records, etc.	AC+20	0	AC+20	O	AC = After closed. All statutes of limitation must be met before file is closed. ARCHIVES NOTE: Review before disposal; some cases that set legal precedent may merit a review by University Archivist for historical reasons.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3138 Nursing Services / Critical Care Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.057	313804	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	313805	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
3.4.006	313806	<p>Time Cards and Time Sheets</p> <p>A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.</p>	FE	4	FE+4	40 TAC 815.106(i).				
3.4.007	313807	<p>Time Off and/or Sick Leave Requests</p> <p>This records series may include but not be limited to Leave Request Forms and other supporting documentation.</p>	FE	3	FE+3					
4.6.002	313808	<p>Reconciliations</p>	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3139 Ambulatory Operations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	313904	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	0	2					
1.1.013	313905	Calendars, Appointment Books 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	0	CE+1	O				
1.1.023	313906	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I				
1.1.024	313907	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3139 Ambulatory Operations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.038	313908	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3	AC = After completion of survey. SEE item number 1.1.067 for summary reports compiled from customer surveys.				
1.1.040	313909	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				
1.1.043	313910	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3139 Ambulatory Operations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	313911	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	313912	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.065	313913	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	313914	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3139 Ambulatory Operations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks	O			
1.1.069	313915	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	0	1					
1.1.070	313916	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	CAUTION: SEE item number 1.1.064. AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			
1.3.001	313917	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).			
1.3.002	313918	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3139 Ambulatory Operations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
2.1.009	313919	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	0	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.				
3.3.020	313920	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.3.027	313921	Aptitude and Skills Tests Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US+2	0	US+2	29 CFR 1602.49 (State Universities). CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.				
3.3.028	313922	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	0	2	29 CFR 1602.49 (State Universities).				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3139 Ambulatory Operations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.3.030	313923	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	0	US+2	CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.				
3.4.006	313924	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
4.1	313925	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+7	0	FE+7					
4.2.002	313926	Cash Receipts Includes receipts for fees (permits, licenses, renewals, etc.)	FE	3	FE+3					
4.2.003	313927	Daily Cash Receipts Logs	FE+3	0	FE+3					
4.5.002	313928	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
5.2.005	313929	Calibration Records (Equipment or Instrument)	10	0	10					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3139 Ambulatory Operations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.2.008	313930	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.	LA+3	0	LA+3					
5.2.010	313931	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				
5.2.011	313932	Equipment Warranties	AC+1	0	AC+1	AC = After expiration.				
5.2.026	313933	Facilities Reservation Logs Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.	2	0	2					
5.3.007	313934	Bid Documentation Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	FE+3	0	FE+3	CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001 and 5.2.028.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3139 Ambulatory Operations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.3.009	313935	Requests for Information Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC	0	AC	AC = Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.				
5.4.008	313936	Hazard Communication Plans	US+5	0	US+5	Texas Health and Safety Code, 502.009(g).				
5.4.009	313937	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
	313938	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE+1	4	FE+5					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3142 SOM / Telemedicine / Clinical								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	314201	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	0	2					
1.1.013	314202	Calendars, Appointment Books 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	0	CE+1	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3142 SOM / Telemedicine / Clinical								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	314203	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.065	314204	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	314205	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3142 SOM / Telemedicine / Clinical								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.4.012	314206	Security Access Records Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency facilities, equipment, or automated systems.	AC+2	0	AC+2	AC = Until superseded, date of expiration, or date of termination, whichever sooner.				
	314207	Client Psychological And Psychiatric Records This series documents all clients who are provided psychological and psychiatric services. Clinicians provide treatment concerning personal problems, academic concerns, and career concerns. The psychiatric consultant provides psychiatric care. Records may include but are not limited to: testing materials, extensive notes made by providers concerning the assessment, diagnosis, treatment and contacts (written, telephone, or in person) with each client, referral letters, release of information agreements, letters to agencies or others concerning the clients, and related documentation.	AC+7	0	AC+7	AC = No client contact for 3 months or formal termination of services. For minor patients, keep AC+7 or until age 21, whichever is longer. 22 TAC 465.22(d)2. The Texas State Board Of Examiners Of Psychologists Rules Of Practice.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3145 Vascular Laboratory								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	314501	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	0	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 University 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.				
1.1.008	314502	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3145 Vascular Laboratory								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	314503	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	314504	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.065	314505	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	314506	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3145 Vascular Laboratory								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	314507	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
2.2.013	314508	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	0	AC	AC = No longer needed as an audit trail for any records modified.				
3.3.020	314509	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.4.006	314510	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	314511	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
5.2.018	314512	Quality Control Reports	2	0	2					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3145 Vascular Laboratory								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	314513	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE+1	4	FE+5					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3150 Clinical Data Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	315001	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	0	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 University 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.				
1.1.008	315002	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3150 Clinical Data Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	315003	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.040	315004	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
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Archival Codes (Field 8)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3150 Clinical Data Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	315005	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.065	315006	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.				
1.1.067	315007	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3150 Clinical Data Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	315008	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.3.023	315009	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	0	FE+3					
3.4.006	315010	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	315011	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
5.1.004	315012	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.2.008	315013	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.	LA+3	0	LA+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3151 CMC / Pharmacy								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	315101	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+6	0	US+6	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation. Retention is based on department policy.			
1.1	315102	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1.006	315103	Complaint Records Complaints received by the agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+2	0	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 (litigation files).			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3151 CMC / Pharmacy								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	315104	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	0	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 University 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.				
1.1.008	315105	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3151 CMC / Pharmacy								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	315106	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.040	315107	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			
1.1.043	315108	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3151 CMC / Pharmacy								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	315109	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	315110	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.067	315111	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3151 CMC / Pharmacy								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	315112	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.3.020	315113	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.3.027	315114	Aptitude and Skills Tests Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US+2	0	US+2	29 CFR 1602.49 (State Universities). CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.				
3.3.028	315115	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	0	2	29 CFR 1602.49 (State Universities).				
3.4.006	315116	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	315117	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3151 CMC / Pharmacy								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	315124	Licensure Records / Texas State Board of Pharmacy License This series documents the professional and regulatory issuance of credentials to facilities providing pharmaceutical services at the University. This series may include but is not limited to: license applications, Pharmacy Board Retail Drug Outlet/Controlled Substance Registration (license) and inspection reports, Drug Enforcement Administration (license), Department of Public Safety (license), and related correspondence.	US+2	0	US+2	22 TAC § 291.75.				
	315125	Medication Profiles Profiles for chemotherapy patients. These profiles tell what drugs are given, the amount of each drug given, the date and time given and who administered the drugs.	5	0	5					
	315126	Pharmacy Controlled Substance Records Consists of records that document the use and disposition of controlled substances. Including but not limited to: audits, inventories, and transfers between pharmacies, prescriptions, and dispositions of controlled substances, night medication sheets, and proof of use sheets.	3	0	3					
	315127	Pharmacy Prescription Dispensation Records This series is used to provide an individual, daily summary, and annual summary record of initial drug dispensation and refills administered by the department as required by the Texas State Pharmacy Board. This series may include but is not limited to: prescription slips, in-house computer-generated Rx registers, controlled substance reports, and database purge reports.	3	0	3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3152 CMC / Finance & Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	315201	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	0	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 University 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.				
1.1.008	315202	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3152 CMC / Finance & Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	315203	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.023	315204	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I	Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.			
1.1.040	315205	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			
1.1.043	315206	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3152 CMC / Finance & Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	315207	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	315208	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.069	315209	<p>Reports - Activity</p> <p>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.</p>	1	0	1	<p>CAUTION: SEE item number 1.1.064.</p>				
1.1.070	315210	<p>Agency Rules, Policies, and Procedures - Final</p> <p>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.</p>	AC+3	0	AC+3	<p>O AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3152 CMC / Finance & Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.3.026	315211	Agency Staffing Reports Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name; staff hired during a month; detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US+3	0	US+3					
3.4.006	315212	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	315213	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.1.002	315214	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3152 CMC / Finance & Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.2.007	315215	Expenditure Vouchers Travel, Payroll, etc.	FE+1	8	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.5.002	315216	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
5.1.004	315217	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.4	315218	Health And Safety Occurrence Reports This records series may include but not be limited to the following: Occurrence reports submitted by employees using preset criteria for the reporting to the Professional Liability Review Committee (PLRC) or Quality Assurance Committee; investigative reports prepared at the request of the PLRC chairman for the PLRC and UT System Office of General Counsel.	CE+5	0	CE+5					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3153 CMC / Utilization Review								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	315301	Films, Videotapes, and Sound Recordings This series provides visual and/or aural documentation of institutional activities and events including students, faculty, and staff with significant relevance to either the institution's or individual unit's function and mission.	AV	0	AV	O				
1.1	315302	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	1	5	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1.006	315303	Complaint Records Complaints received by the agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC	2	AC+2	O	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 (litigation files).			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3153 CMC / Utilization Review								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	315304	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	0	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 University 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.				
1.1.008	315305	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7)

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AV - Administrative Value

CE - Calendar Year End
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LA - Life Of Asset
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PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3153 CMC / Utilization Review								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	315306	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.043	315307	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3154 CMC / Human Resources								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	315401	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	315402	Compliance / Reported Allegations, Investigations And Reviews US Federal Sentencing Guidelines mandates requirements for an effective compliance program, including a mechanism to report allegations of wrong doing, investigations of reported allegations and conducting assurance activities. Documents may include but are not limited to allegations reported to the Fraud, Abuse and Privacy hotline, assurance activity documentation, supporting documentation from the Institutional Compliance review, final report and related correspondence.	FE+10	0	FE+10		31 USC § 3731 (b) - False claims. HIPPA Part 164.530(J)(2).			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3154 CMC / Human Resources								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	315403	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	0	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 University 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.				
1.1.008	315404	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3154 CMC / Human Resources								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	315405	Calendars, Appointment Books 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	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.043	315406	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3154 CMC / Human Resources								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	315407	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	315408	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.065	315409	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	315410	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded		Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3154 CMC / Human Resources								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	315411	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.1.006	315412	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	0	AC+3	AC = Termination of counseling.				
3.4.006	315413	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+1	3	FE+4	40 TAC 815.106(i).				
3.4.007	315414	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+1	2	FE+3					
5.1.004	315415	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
	315416	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3155 CMC / Huntsville Medical Warehouse								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.008	315501	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010. AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.043	315502	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					
1.1.057	315503	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC					
1.1.063	315504	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3155 CMC / Huntsville Medical Warehouse								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.1.027	315505	Training and Educational Achievement Records (Individual) Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC+5	0	AC+5	AC = Termination of employment.				
4.2.005	315506	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
5.1	315507	Registered Mail Receipts This records series consists of receipts for registered mail.	1	0	1					
5.1	315508	Shipping Records This series provides a record of items that are mailed by the department via UPS, Federal Express, or another carrier. Records may be used for billing and/or tracking. These records include: printing and mailing shipping forms; parcel mailing order forms; and related correspondence.	1	0	1					
5.1.003	315509	Delivery Reports	2	0	2					
5.1.004	315510	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3155 CMC / Huntsville Medical Warehouse								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.1.014	315511	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	0	US+1					
5.2.020	315512	Supply Usage Records This series is used to document supply usage and charges. This series may include but is not limited to: stock printouts, inventory reports, and related documentation and correspondence.	FE+1	0	FE+1					
5.3.004	315513	Order - Acknowledgments This records series consists of customer notification that their order was received by the supplier.	AV	0	AV					
5.3.005	315514	Packing Slips This series documents the receipt of equipment, supplies, other items, and services from vendors. The series includes: packing slips, shipping and container lists, and bills of lading.	AV	0	AV					
5.3.007	315515	Bid Documentation Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	FE+3	0	FE+3	CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001 and 5.2.028.				
5.3.008	315516	Purchasing Logs Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE+3	0	FE+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3155 CMC / Huntsville Medical Warehouse								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
	315517	Medical Device Recall Notices And Responses Food and Drug Administration (FDA), Safety Medical Device Act (SMDA) and manufacturer recalls on all medical, food and drug devices. This records series may include but is not limited to, reportable occurrences on devices, recalls through the manufacturer and responses by UTMB departments.	15	0	15	CAUTION: Retention requirement is 15 years or two years after the expected life of the device, whichever is longer. 21 CFR 806.20(c) and 21 CFR 821.60.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3156 Nursing Services / WIC / Neonatal Nurseries								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	315601	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1.007	315602	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	0	4	O				
1.1.008	315603	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	0	2					

Retention Codes (Field 7)

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Archival Codes (Field 8)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3156 Nursing Services / WIC / Neonatal Nurseries								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.040	315604	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O				
1.1.043	315605	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					
1.1.057	315606	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC					

Retention Codes (Field 7)

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AV - Administrative Value

CE - Calendar Year End
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LA - Life Of Asset
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PM - Permanent
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Archival Codes (Field 8)

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O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3156 Nursing Services / WIC / Neonatal Nurseries								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.063	315607	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.069	315608	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	0	1	CAUTION: SEE item number 1.1.064.				
3.3.020	315609	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.4.006	315610	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE	4	FE+4	40 TAC 815.106(i).				
3.4.007	315611	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE	3	FE+3					
5.2.005	315612	Calibration Records (Equipment or Instrument)	10	0	10					

Retention Codes (Field 7)

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AV - Administrative Value

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LA - Life Of Asset
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PM - Permanent
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Archival Codes (Field 8)

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O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3156 Nursing Services / WIC / Neonatal Nurseries								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total					
5.2.010	315613	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				
	315614	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					
	315615	Quality Assurance Records / Health Services This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections, reports by the staff, quality assurance committee notes, staff reviews and related correspondence.	FE+3	0	FE+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3157 Nursing Services / WIC / Pediatric Med/Surg And PICU (J10AB)								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	315701	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1.007	315702	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	0	4	O				
1.1.008	315703	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	0	2					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3157 Nursing Services / WIC / Pediatric Med/Surg And PICU (J10AB)								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	315704	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	315705	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3157 Nursing Services / WIC / Pediatric Med/Surg And PICU (J10AB)								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.063	315706	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.069	315707	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	0	1	CAUTION: SEE item number 1.1.064.				
3.4.006	315708	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	315709	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.5.002	315710	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
5.1.004	315711	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.2.005	315712	Calibration Records (Equipment or Instrument)	10	0	10					

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
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MO - Months

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US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3157 Nursing Services / WIC / Pediatric Med/Surg And PICU (J10AB)								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	315713	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					
	315714	Quality Assurance Records / Health Services This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections, reports by the staff, quality assurance committee notes, staff reviews and related correspondence.	FE+3	0	FE+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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1. Page 685 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3158 Nursing Services / WIC / Labor And Delivery (J3C,JSA3,J3A)								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	315801	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	0	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 University 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.				
1.1.008	315802	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3158 Nursing Services / WIC / Labor And Delivery (J3C,J3A)								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	315803	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.043	315804	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3158 Nursing Services / WIC / Labor And Delivery (J3C,JSA3,J3A)								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	315805	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	315806	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.069	315807	<p>Reports - Activity</p> <p>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.</p>	1	0	1	<p>CAUTION: SEE item number 1.1.064.</p>				
3.3.020	315808	<p>Work Schedules / Assignments</p> <p>Work, duty, shift, crew, or case schedules, rosters, or assignments.</p>	1	0	1					

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Archival Codes (Field 8)

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1. Page 689 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3159 Nursing Services / WIC / Post Partum (6C/D)								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	315901	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	0	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 University 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.				
1.1.008	315902	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3159 Nursing Services / WIC / Post Partum (6C/D)								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	315903	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	315904	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3159 Nursing Services / WIC / Post Partum (6C/D)								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.063	315905	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
3.4.006	315906	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+1	3	FE+4	40 TAC 815.106(i).				
3.4.007	315907	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+1	2	FE+3					
5.1.004	315908	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.2.005	315909	Calibration Records (Equipment or Instrument)	10	0	10					
	315910	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	1	2	3					

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Archival Codes (Field 8)

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1. Page 692 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3160 Nursing Services / WIC / Antepartum (6A/B)								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	316001	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	0	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 University 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.				
1.1.008	316002	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7)

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1. Page 693 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3160 Nursing Services / WIC / Antepartum (6A/B)								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	316003	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	316004	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3160 Nursing Services / WIC / Antepartum (6A/B)								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.063	316005	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
3.4.006	316006	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	316007	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
5.1.004	316008	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.2.005	316009	Calibration Records (Equipment or Instrument)	10	0	10					
	316010	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	1	2	3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3160 Nursing Services / WIC / Antepartum (6A/B)								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	316011	Quality Assurance Records / Health Services This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections, reports by the staff, quality assurance committee notes, staff reviews and related correspondence.	FE+3	0	FE+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3162 Ambulatory Operations / Victory Lakes / Clinics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	316201	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1.002	316202	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	0	AC+7		AC = Publication or release of final audit findings. The record copy of any audit performed by the State Auditor's Office is retained permanently by UTMB's Internal Audit Services Consulting And Investigation.			
1.1.007	316203	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	0	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 University 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.			

Retention Codes (Field 7)	Archival Codes (Field 8)
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3162 Ambulatory Operations / Victory Lakes / Clinics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	316204	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	0	2					
1.1.013	316205	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.024	316206	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.				
1.1.043	316207	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3162 Ambulatory Operations / Victory Lakes / Clinics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	316208	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	316209	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.065	316210	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	316211	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3162 Ambulatory Operations / Victory Lakes / Clinics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.4.006	316212	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	316213	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.5.002	316214	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
5.1.004	316215	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
	316216	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3163 Ambulaotry Operations / Victory Lakes / Ambulatory Surgery								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	316301	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation. 25 TAC 135.			
1.1	316302	Media Consent Forms This series authorizes the use of audio or visual media. Records may include but are not limited to the signed consent form and related correspondence.	AC+2	0	AC+2	O	AC = After authorization.			
1.1	316303	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3163 Ambulaotry Operations / Victory Lakes / Ambulatory Surgery								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	316304	Release / Liability Waiver This series documents the release of the institution or administrative unit from liability related to various activities involving students, faculty, or staff. Activities may include events such as sponsored field trips and physical education classes. Records include but are not limited to hold harmless, waiver, and release forms, related documentation, and correspondence. Information includes a statement from the participant that he/she assumes personal responsibility and holds the institution or administrative unit blameless for any accident or injury that may occur while participating, information about college insurance, description of the activity, and signatures of the participant.	AC+1	3	AC+4	AC = After release.				
1.1.007	316305	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	0	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 University Archives when these records have met their retention periods. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3163 Ambulaotry Operations / Victory Lakes / Ambulatory Surgery								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	316306	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.013	316307	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3163 Ambulaotry Operations / Victory Lakes / Ambulatory Surgery								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	316308	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	316309	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.069	316310	<p>Reports - Activity</p> <p>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.</p>	1	0	1	<p>CAUTION: SEE item number 1.1.064.</p>				
1.1.070	316311	<p>Agency Rules, Policies, and Procedures - Final</p> <p>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.</p>	AC+3	0	AC+3	<p>O AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3163 Ambulaotry Operations / Victory Lakes / Ambulatory Surgery								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
3.1	316312	Employee Authorization Form This records series documents the administrative approval process for new positions within a department. This series may contain but is not limited to information about the hiring manager; position, funding, budget information, justification for the position and approval signatures.	FE+2	0	FE+2					
3.3.020	316313	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
4.1	316314	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+7	0	FE+7					
4.1.002	316315	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3163 Ambulaotry Operations / Victory Lakes / Ambulatory Surgery								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.2.005	316316	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	9	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year. Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				
4.6.002	316317	Reconciliations	FE+3	0	FE+3					
5.1.004	316318	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	0	US					
5.2.008	316319	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.	LA+3	0	LA+3					
5.2.010	316320	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3163 Ambulaotry Operations / Victory Lakes / Ambulatory Surgery								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
5.2.018	316321	Quality Control Reports	2	0	2					
5.4	316322	Accident Reports Reports of any accidents or incidents incurred by student, or visitor to the University.	AC+3	0	AC+3	AC = Date of settlement. CAUTION: If the accident involves a minor, the record retention period is extended until three years after the minor reaches the age of majority if no claim filed, or date of settlement or denial of the claim if claim is filed, whichever is applicable. Civil Practice and Remedies Code, Section 16.001.				
5.4.007	316323	Hazardous Materials Training Records Records of training given to employees in an agency hazard communications program.	5	0	5	Texas Health and Safety Code, 502.009(g).				
5.4.009	316324	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	316325	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				
	316326	Abuse and Neglect Records This records series documents abuse and / or neglect findings observed during patient pre-op assessment. This series may include but is not limited to: incident / variance reports submitted to the proper authorities and related correspondence.	AC+10	0	AC+10	AC = Report date, or if patient is a minor, age of majority.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3163 Ambulaotry Operations / Victory Lakes / Ambulatory Surgery								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	316327	Laboratory Test Requests This records series consists of all requisitions authorizing a laboratory to perform tests on a sample. This series may include but is not limited to: the patient's name or identification number, the name or identifier of who ordered the test, the date and time of the specimen collection, the source of the specimen, the patient's gender and age or date of birth, physician's signature, and pertinent clinical information. Test results received from external reference labs may be included.	1	6	7					
	316328	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	1	2	3					
	316329	Nursing Peer Review Records This records series provides an evaluation of the qualifications of a nurse, the quality of patient care rendered by the nurse, critical thinking, the merits of a complaint concerning a nurse or nursing care, and a determination regarding a complaint. This series may include but is not limited to: evaluative comments regarding nursing knowledge, skills, interpersonal relationships, personal / professional characteristics and related correspondence.	AC+3	0	AC+3	AC = Date of review. Texas Occupations Code, Chapter 303.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3163 Ambulaotry Operations / Victory Lakes / Ambulatory Surgery								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	316330	Quality Assurance Records / Health Services This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections, reports by the staff, quality assurance committee notes, staff reviews and related correspondence.	FE+1	2	FE+3					
	316331	Solid Organ And Tissue Tracking Records Records related to the receipt and disposition of all deceased donor and external living non-university donor organs and tissues transplanted within the hospital. The record may include but is not limited to: solid organ or tissue type, the donor id number, the name and license number of the procurement or distribution facility which supplied the tissue/organ, recipient name and id number, name of transplanting doctor, date the organ/tissue was received by the hospital, and the date of the transplant. This information may be provided quarterly to an organ or tissue procurement service.	1	29	30	O				
	316332	Surgical Instrument Sterilization Records This series documents the sterilization of surgical instruments. This series may include but is not limited to: autoclave recording charts and log sheets indicating date, load number, items sterilized, and temperature / time settings.	FE	3	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3164 Ambulatory Operations / Victory Lakes / Ambulatory Training Development								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	316401	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1.007	316402	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	0	4	O				
1.1.008	316403	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	0	2					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	316404	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.043	316405	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3164 Ambulatory Operations / Victory Lakes / Ambulatory Training Development								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	316406	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	316407	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3165 Finance / Clinical Enterprise / Healthcare Financial Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.002	316501	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	0	AC+7					
1.1.007	316502	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	0	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 University 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.				
1.1.008	316503	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded		Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3165 Finance / Clinical Enterprise / Healthcare Financial Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	316504	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.024	316505	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.				
1.1.040	316506	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				
1.1.043	316507	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3165 Finance / Clinical Enterprise / Healthcare Financial Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	316508	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	316509	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.067	316510	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3165 Finance / Clinical Enterprise / Healthcare Financial Management								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	316511	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
4.5.002	316512	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	O Monthly reconciliation and approval of expenses required by internal audit.				
4.5.006	316513	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3					

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3166 Ambulatory Operations / Victory Lakes / Advanced Imaging Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	316601	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1.006	316602	Complaint Records Complaints received by the agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+2	0	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 (litigation files).			
1.1.007	316603	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	0	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 University 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.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3166 Ambulatory Operations / Victory Lakes / Advanced Imaging Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	316604	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	0	2					
1.1.013	316605	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.040	316606	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				
1.1.043	316607	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3166 Ambulatory Operations / Victory Lakes / Advanced Imaging Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	316608	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	316609	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.069	316610	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	0	1	CAUTION: SEE item number 1.1.064.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3166 Ambulatory Operations / Victory Lakes / Advanced Imaging Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.001	316611	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	316612	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.3.020	316613	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.3.027	316614	Aptitude and Skills Tests Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US+2	0	US+2	29 CFR 1602.49 (State Universities). CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3166 Ambulatory Operations / Victory Lakes / Advanced Imaging Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
3.3.028	316615	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	0	2	29 CFR 1602.49 (State Universities).				
3.4.006	316616	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE	4	FE+4	40 TAC 815.106(i).				
3.4.007	316617	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE	3	FE+3					
5.1.004	316618	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.1.012	316619	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	0	US+3					
5.2.009	316620	Equipment Inventory Detail Report Forms Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3166 Ambulatory Operations / Victory Lakes / Advanced Imaging Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.2.010	316621	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned. Texas Health and Safety Code, 502.009(g). Texas Health and Safety Code, 502.009(g). Texas Health and Safety Code, 502.005(d). AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				
5.2.018	316622	Quality Control Reports	2	0	2					
5.3.005	316623	Packing Slips This series documents the receipt of equipment, supplies, other items, and services from vendors. The series includes: packing slips, shipping and container lists, and bills of lading.	AV	0	AV					
5.4.007	316624	Hazardous Materials Training Records Records of training given to employees in an agency hazard communications program.	5	0	5					
5.4.008	316625	Hazard Communication Plans	US+5	0	US+5					
5.4.009	316626	Workplace Chemical Lists	30	0	30					
5.4.010	316627	Material Safety Data Sheets	AC	0	AC					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3166 Ambulatory Operations / Victory Lakes / Advanced Imaging Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
	316628	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE	5	FE+5					
	316629	Source Data / Medical / Mammography This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE+10	0	FE+10	Retention is based on Texas Health & Safety Code § 401.424 and 25 Texas Administrative Code § 289.230(t)(4) (2007) (Department of State Health Services, Radiation Control)				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3167 Nursing Services / WIC / Gynecology / Oncology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	316701	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	0	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 University 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.				
1.1.008	316702	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3167 Nursing Services / WIC / Gynecology / Oncology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	316703	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.063	316704	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
3.4.006	316705	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	316706	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
5.1.004	316707	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.2.005	316708	Calibration Records (Equipment or Instrument)	10	0	10					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3167 Nursing Services / WIC / Gynecology / Oncology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
	316709	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3168 Multi-Share Plan								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	316801	Endowment Fund Reports Annual report of funds received and expended by endowment accounts to a University department.	AC+6	0	AC+6	O	AC = After liquidation of funds.			
1.1.007	316802	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	0	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 University 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.			
1.1.008	316803	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3168 Multi-Share Plan								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
1.1.013	316804	Calendars, Appointment Books 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	0	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 University 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>			
1.1.024	316805	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O	<p>AC = Decision made to implement or not to implement result of planning process.</p> <p>ARCHIVES NOTE: Data processing planning records are not archival.</p>			

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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1. Page 728 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3168 Multi-Share Plan								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	316806	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	316807	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.065	316808	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	316809	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal
CE - Calendar Year End FE - Fiscal Year End	PM - Permanent US - Until Superseded
LA - Life Of Asset MO - Months	



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3168 Multi-Share Plan								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.070	316810	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			
1.2.003	316811	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	0	AC+1		AC = Discontinuance of use of form.			
1.3.001	316812	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).			
1.3.002	316813	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3168 Multi-Share Plan								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.1	316814	Health Benefit Plan Employer Records This series documents the eligibility and enrollment of employees to participate in health benefit plans. May contain but not be limited to: enrollment applications, tax returns, banking information, payroll information, claim information, termination forms, and related correspondence.	AC+1	3	AC+4	AC = Term of coverage. Note: may contain protected health information.				
4.4	316815	Accounts Receivable Records This series is used to provide a record of billings and collections for the programs or services provided. It is also used to provide a record of customers owing monies and to reconcile the account. Records may include but are not limited to: account edit sheets, payment methods, invoices, journal vouchers, billing detail, receipts or receipt books, reconciliations, and related documentation and correspondence.	FE+3	0	FE+3					
4.5.002	316816	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
5.1.001	316817	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+6	0	AC+6	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3168 Multi-Share Plan								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	316818	Quality Assurance Records / Health Services This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections, reports by the staff, quality assurance committee notes, staff reviews and related correspondence.	FE+3	0	FE+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3169 Hospital Administration / Community Health Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.006	316901	Complaint Records Complaints received by the agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+2	0	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 (litigation files).				
1.1.007	316902	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	0	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 University 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.				
1.1.008	316903	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3169 Hospital Administration / Community Health Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	316904	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.023	316905	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I	Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.			
1.1.024	316906	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.			
1.1.038	316907	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3		AC = After completion of survey. SEE item number 1.1.067 for summary reports compiled from customer surveys.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3169 Hospital Administration / Community Health Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.040	316908	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				
1.1.043	316909	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					
1.1.057	316910	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 3169 Hospital Administration / Community Health Program

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number
			Agency	Storage	Total			
1.1.063	316911	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1			
1.1.064	316912	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	0	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.	
1.1.065	316913	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.	
1.1.067	316914	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.	
1.1.069	316915	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	0	1		CAUTION: SEE item number 1.1.064.	

Retention Codes (Field 7)	Archival Codes (Field 8)
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AV - Administrative Value	O - Review Required Before Disposal
CE - Calendar Year End	PM - Permanent
FE - Fiscal Year End	US - Until Superseded
LA - Life Of Asset	
MO - Months	



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3169 Hospital Administration / Community Health Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	316916	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O				
1.3.001	316917	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	AC+2	O				
1.3.002	316918	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3169 Hospital Administration / Community Health Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
2.1.009	316919	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	0	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.				
2.2.016	316920	Software Registrations, Warranties And License Agreements	LA+3	0	LA+3					
3.4.006	316921	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	316922	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3169 Hospital Administration / Community Health Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.5.002	316923	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.7	316924	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				
4.7	316925	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.1.004	316926	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3169 Hospital Administration / Community Health Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.1.014	316927	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	0	US+1					
5.2.009	316928	Equipment Inventory Detail Report Forms Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE+3	0	FE+3					
5.4.012	316929	Security Access Records Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency facilities, equipment, or automated systems.	AC+2	0	AC+2	AC = Until superseded, date of expiration, or date of termination, whichever sooner.				
	316930	Case Management Health Records / Patients Healthcare case management records compiled for patients. Records may include but are not limited to: patient demographic information, patient diagnosis, medications, counseling notes, risk reduction plans and related correspondence.	AC+7	0	AC+7	AC = Last date of service, or if minor, when patient turns 21. 22 TAC Rule§165.1.				
	316931	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					

Retention Codes (Field 7)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 3169 Hospital Administration / Community Health Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
	316932	Social Work Case Files Consists of records that document social work activities which include but are not limited to: records of the dates of social work services, types of social work services, documentation of an assessment, evaluation, or diagnosis of a client and billing information. Records are maintained as a separate entity and not interfiled within the patient medical record.	AC+5	0	AC+5	AC = Date of last contact or patient reaches the age of 18 whichever is later. 22 TAC § 781.204(f) and 22 TAC § 781.209(4).				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4001 SHP / Office Of The Dean Of School Of Health Professions								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	400101	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1.007	400102	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	0	4	O				
1.1.008	400103	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	0	2					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.040	400104	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				
1.1.057	400105	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4001 SHP / Office Of The Dean Of School Of Health Professions								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.1	400106	Appointment, Promotion, And Tenure Records This series documents the periodic consideration of faculty who are eligible for promotion in rank and change in tenure status, appointments to the ranks of Associate Professor and Professor and to endowed Chairs and Professorships, and compliance with U.T. System regulations for periodic performance evaluation of tenured faculty. Records may include but are not limited to appointment, promotion and tenure proposals submitted by departments for review by the School of Medicine Appointment, Promotion, and Tenure (APT) Committee and the Executive Committee - Faculty of Medicine, committee recommendations and approvals, and documentation of post-tenure review recommendations. Proposals may include but are not limited to: Chairs' letter of proposal, departmental APT committee's letter of recommendation, letters of evaluation and a current curriculum vitae. These files should always be maintained physically separate from faculty files.	AC+5	0	AC+5	O	AC = Termination of Employment. 29 CFR 1602.49.			
3.4.006	400107	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4		40 TAC 815.106(i).			
3.4.007	400108	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4001 SHP / Office Of The Dean Of School Of Health Professions								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.1.007	400109	Transfers or Budget Revisions Transfers or adjustment to budgets.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.5.002	400110	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.5.006	400111	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4002 Office of Faculty Relations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	400201	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	0	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 University 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.				
1.1.008	400202	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.043	400203	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4002 Office of Faculty Relations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	400204	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.067	400205	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				
1.1.069	400206	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	0	1	CAUTION: SEE item number 1.1.064.				

Retention Codes (Field 7)	Archival Codes (Field 8)
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4002 Office of Faculty Relations								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	400207	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.1	400208	Compensation Information Form / Non-Faculty Grant-Funded Documents the acknowledgement of non-faculty employees that employment status is based on funding provided by a grant.	AC+2	0	AC+2	AC = US or date of separation + 2 years.				
3.1	400209	Declinations File - Faculty Contracts, recommendations, and letters from people who have declined positions.	AC+2	0	AC+2	AC = After file is closed.				
3.1	400210	Faculty and Non-teaching Recruitment Records This records series documents the recruitment of faculty and non-teaching positions by the University. Records may include but are not limited to: request to post, position description, recruiting plan (includes search committee list), advertising, interview detail, Approval To Interview Form (pre-interview summary), applicants recommended for interview, CV's for all applicants listed and related correspondence.	FE+2	0	FE+2					
3.1.001	400211	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	0	2	29 CFR 1602.49(a) [State Universities].				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4004 SHP / Office Of Academic And Student Affairs (ASA)								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	400401	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	0	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 University 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.				
1.1.008	400402	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4004 SHP / Office Of Academic And Student Affairs (ASA)								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	400403	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.024	400404	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.				
1.1.041	400405	Suggestion System Records Suggestions submitted by agency personnel and responses.	1	0	1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4004 SHP / Office Of Academic And Student Affairs (ASA)								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	400406	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	400407	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.065	400408	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.				
1.1.067	400409	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4004 SHP / Office Of Academic And Student Affairs (ASA)								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.001	400410	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	400411	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.4.006	400412	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	400413	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4004 SHP / Office Of Academic And Student Affairs (ASA)								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.5.002	400414	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
5.1.001	400415	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+6	0	AC+6	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2).				
5.1.004	400416	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
	400417	Catalog / Bulletin Records This series provides a record of institutional policies and procedures, program requirements, and course offerings. Information in the individual catalogs and bulletins includes academic policies and procedures, program names and descriptions, course names and descriptions, alphanumeric course designations, credits offered per course, and related program and course information. Records may include but are not limited to: published copies of catalogs and bulletins including the general, graduate, and summer session catalog/bulletin, mock-ups of catalogs and bulletins, preparation and working papers, and related documentation and correspondence.	AC+2	0	AC+2	I AC = After term. ARCHIVES NOTE: Transfer a copy of all catalogs or bulletins to the University Archives upon publication.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	400418	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+2	5	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				
	400419	Honors / Awards / Eligibility And History This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. The series may include but is not limited to: eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases.	PM	0	PM					
	400420	Honors / Awards / Supporting Documentation Records that document the process of selecting honors and award winners. Records may include but are not limited to: applications, nomination letters, recommendations, letters of award notification or denial, letters accepting or declining awards, vote tallies, transcripts, CV's, essays, course evaluations, ranking sheets, and related documentation and correspondence.	FE+3	0	FE+3					
	400421	Program And Course Development Records This records series documents the development, approval, and the implementation of undergraduate, graduate, and professional degree programs and any other reorganizations or changes to established programs. Records may include but are not limited to: working papers, final reports, related course descriptions, outlines, sample examinations, textbook lists, etc.	6	0	6		O			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4004 SHP / Office Of Academic And Student Affairs (ASA)								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	400422	Recruitment Records This series provides a record of recruiter visits to the campus to conduct job interviews. Records may include but are not limited to: scheduling calendars; recruiter schedules; affirmative action statements; recruiter information forms, list of interviewees, feedback forms from recruiters, and related documentation and correspondence.	2	0	2	I				
	400423	Student Academic Records Records may include but are not be limited to: date of admission, period of attendance, academic work undertaken, academic work successfully completed, honors awarded, diploma, degree, or certificate earned, and appropriate evaluation of work completed for students such as medical, nurses, and other professional type students. Also includes course changes and add/drops.	AC+2	8	AC+10		AC = Graduation or date of last attendance.			
	400424	Student Grievance Records This series documents grievances brought forward by students against the institution which do not result in litigation. Grievances may pertain to academic issues, housing, affirmative action and equal opportunity, student conduct, and other issues. Records may include but are not limited to: notices of grievance, informal discussion notes, grievance responses, formal hearing notes (including audio tapes), final summary statements, settlement agreements, appeals documentation, and related records.	AC+3	0	AC+3		AC = After resolution.			
	400425	Test Questions And Examinations Records may include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC+2	0	AC+2		AC = After graduation or date of last attendance.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4005 Enrollment Services / Records and Registration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	400501	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	0	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 University 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.				
1.1.008	400502	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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Archival Codes (Field 8)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4005 Enrollment Services / Records and Registration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8.	8. Archival		10. 106 No.	11. TSLAC Amend Number
			Agency	Storage	Total		9. Remarks			
1.1.013	400503	Calendars, Appointment Books 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	0	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 University 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>			
1.1.024	400504	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O	<p>AC = Decision made to implement or not to implement result of planning process.</p> <p>ARCHIVES NOTE: Data processing planning records are not archival.</p>			
1.1.040	400505	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	<p>AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents).</p> <p>Departments below senior leadership: Until superseded or no longer needed for reference.</p>			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4005 Enrollment Services / Records and Registration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	400506	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	400507	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.067	400508	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4005 Enrollment Services / Records and Registration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	400509	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
2.1.010	400510	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	0	AC	AC = All audit requirements have been met.				
4.2.003	400511	Daily Cash Receipts Logs	FE+3	0	FE+3					
5.1.014	400512	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	0	US+1					
	400513	Academic Transcripts A record of the academic history of a student in terms of the courses taken, grades, and degrees received.	PM	0	PM					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4005 Enrollment Services / Records and Registration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	400516	Degree Audit and Application for Graduation Records This series documents student completion of degree requirements. Records may include but are not limited to: work sheets, transcripts, and transfer course evaluations. The series may also include official graduation audit forms that list students' names, colleges, majors, degrees, minors, the course loads taken by the applicants for previous three terms, the breakdown of institutional undergraduate degree requirements (as opposed to school, major, or certificate program graduation requirements) and how the applicants have fulfilled them, grade point averages, and deans' recommendations/comments and signatures.	PM	0	PM	Retention is based on department policy.				
	400517	Diploma Mailing Verification Records This series documents students' requests to have diplomas and other graduation records distributed to specific addresses. Records may include but are not limited to: signed cards listing permanent address for diplomas to be mailed to, indicating that fees have been paid; and listing students' names, college or school within the institution, degrees granted, and dates of requests.	1	0	1					
	400518	Enrollment Reports This series is used to provide the Chancellor's office with a record of enrollments which may be used for planning and research. Records may include but are not limited to: student names and levels, grade point averages, demographic data, academic majors, working papers, final reports, and related documentation and correspondence.	PM	0	PM					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4005 Enrollment Services / Records and Registration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
	400519	Grade Reports This series documents grades received by students for the term. The series includes but is not limited to: course numbers and titles, grades awarded, grade point average, student name, and social security number.	PM	0	PM	Information may be exempt from public disclosure. Retention is based on department policy.				
	400520	Instructors' Grade Records This series documents test scores, class work scores, and final grades for students which may be used as back-up to the official academic records held by the Registrar. Records may include but are not limited to: instructors' grade books, grade confirmation reports, grade confirmation and change records, and final grade rosters.	AV	PM	PM	Information may be exempt from public disclosure. Retention is based on department policy.				
	400521	Name Changes Records This series documents students' or applicants' name changes reported to the admissions or registrar's offices by students. Records may include but are not limited to: letters requesting change in name; name change forms; lists or reports of students with changed names; and related documentation and correspondence.	PM	0	PM					
	400522	National Board of Medical Examiners Test Scores Test scores for medical students given by the National Board of Medical Examiners. Records may also contain test scores from state or local board certifying agencies. The National Board of Medical Examiners is the body that administers the tests to students throughout their medical education. There are 3 steps to the degree program. Step one is given during the 2nd year of medical school, steps two and three are given throughout the remainder of medical school. All three parts have to be passed to obtain the degree.	PM	0	PM					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4005 Enrollment Services / Records and Registration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks	9. Remarks			
	400523	Qualifying Exam A record of an examination (usually one from a sequence) that qualifies a student to continue studies at a higher level. Records may include but are not limited to: the examination and answer sheet.	AC+1	0	AC+1		AC = After end of academic year.			
	400524	Student Academic Records Records may include but are not be limited to: date of admission, period of attendance, academic work undertaken, academic work successfully completed, honors awarded, diploma, degree, or certificate earned, and appropriate evaluation of work completed for students such as medical, nurses, and other professional type students. Also includes course changes and add/drops.	AV	PM	PM		Retention is based on department policy.			
	400525	Student Folders -- Visiting Students A record of students who are pursuing a degree from another institution but who take some University courses, do a clerkship, or research studies at the University.	AC+6	0	AC+6	I	AC = Date of last attendance.			
	400526	Student Statistical Reports This series documents student status and enrollment at the institution. Records may include but are not limited to: specialized listings and statistical reports pertaining to departmental and college registration, course changes, add/drops, geographical distribution of students, student age and gender data, mortality of classes, student transfers from other schools, student body grade point averages and GPAs of living groups, and veterans enrollment; reports documenting student and enrollment by term; and reports on other topics.	AC+5	0	AC+5	O	AC = Date report created.			

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			Agency	Storage	Total	9. Remarks				
	400527	Transcript Request Form This series provides a record of students' requests for transcripts to be sent to other institutions. Information on the individual form includes: student's present name and other name(s) under which the student attended; social security number; home address; phone number; student signature; number of copies of transcript requested; fee status; whether official or unofficial transcripts are desired; date of request; and destination(s) of transcript(s).	AC+1	0	AC+1	AC = Request fulfilled.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4006 Enrollment Services / Student Financials								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.002	400601	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	0	AC+7	AC = Publication or release of final audit findings. The record copy of any audit performed by the State Auditor's Office is retained permanently by UTMB's Internal Audit Services Consulting And Investigation.				
1.1.006	400602	Complaint Records Complaints received by the agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+2	0	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 (litigation files).				
1.1.008	400603	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.043	400604	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4006 Enrollment Services / Student Financials								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.057	400605	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
4.1.001	400606	Accounts Payable Information This series documents an agency's expenditures and purchases. Records may include but are not limited to: departmental purchase orders, contract release orders, balance sheets, bills, invoices, invoice vouchers, journal voucher/entry forms, and related documentation and correspondence.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4006 Enrollment Services / Student Financials								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.1.002	400607	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				
4.1.008	400608	Electronic Fund Transfers Direct deposit registers.	FE+3	0	FE+3					
4.2.002	400609	Cash Receipts Includes receipts for fees (permits, licenses, renewals, etc.)	FE+3	0	FE+3					
4.2.003	400610	Daily Cash Receipts Logs	FE+3	0	FE+3					
4.4.001	400611	General and Subsidiary Ledgers	FE+9	0	FE+9		UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4006 Enrollment Services / Student Financials								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.5.005	400612	External Fiscal Reports Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE+3	0	FE+3					
4.6.002	400613	Reconciliations	FE+3	0	FE+3					
4.7	400614	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
4.7.003	400615	Returned Checks/Warrants/Drafts (Uncollectable) This records series documents attempts to collect monies for non-negotiable (usually non-sufficient funds) checks received for payment to University accounts. Records consist of master list of checks returned to the agency and may contain names, addresses, telephone numbers, banks upon which checks were drawn, reasons for return, and notations of any prior activity.	AC+3	0	AC+3	AC = After deemed uncollectable.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4006 Enrollment Services / Student Financials								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
5.1.004	400616	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.1.013	400617	Insurance Policies For vehicles, equipment, etc.	AC+4	0	AC+4	AC = Expiration or termination of the policy according to its terms.				
5.1.014	400618	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	0	US+1					
	400619	Liability Insurance - Policy and Information Liability insurance policies for students. Records may include but are not limited to: list of students that have been charged the liability premiums, documentation stating that students are covered by the blanket liability policies, and related documentation and correspondence.	AC+6	0	AC+6	AC = Graduation Or Date Of Last Attendance.				
	400620	Promissory Notes This series consists of the promissory notes for student loans negotiated for the current academic year. The notes become part of the borrowers loan records at the end of the academic year.	AC+3	0	AC+3	AC = After repayment.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4007 Enrollment Services / Admissions								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	400701	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1.007	400702	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	0	4	O				
1.1.008	400703	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	0	2					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4007 Enrollment Services / Admissions								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	400704	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.014	400705	Legal Opinions and Advice From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV	0	AV	O	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048.			
1.1.024	400706	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.			
1.1.040	400707	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4007 Enrollment Services / Admissions								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.043	400708	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					
1.1.057	400709	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.067	400710	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4007 Enrollment Services / Admissions								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	400711	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
2.1.010	400712	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	0	AC	AC = All audit requirements have been met.				
5.1.014	400713	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	0	US+1					
	400714	Admissions Records / Accepted This series documents the application process for individuals seeking admission to the institution or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC+5	0	AC+5	AC = Graduation or date of last attendance.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4007 Enrollment Services / Admissions								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	400715	Admissions Records / Denied This series documents the applications process for individuals that have been denied admission to the University or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC+1	0	AC+1	AC = After application term.				
	400716	Admissions Report This series provides summary information relating to student admission programs which may be used for control, planning or review.	PM	0	PM					
	400717	International Student Records / Accepted This series documents institution assistance to international students who have been admitted to academic programs. These records primarily concern institution admissions, immigration issues, and other non-academic matters. Records may include but are not limited to: copies of visas, scholarship information, institution admissions forms, graduate school applications, transcripts of previous college work, grade reports of prior college work, grade reports from institutional courses, international student advisors' notes, degree completion certificates, explanations for student withdrawals, recommendations and evaluations of students, and related documentation and correspondence.	AC+7	0	AC+7	AC = After last enrollment.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4007 Enrollment Services / Admissions								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	400718	International Student Records / Denied This series documents institution assistance to international students who have failed to enroll in academic programs. These records primarily concern institution admissions, immigration issues, and other non-academic matters. Records may include but are not limited to: copies of visas, scholarship information, institution admissions forms, graduate school applications, transcripts of previous college work, grade reports of prior college work, grade reports from institutional courses, international student advisors' notes, degree completion certificates, explanations for student withdrawals, recommendations and evaluations of students, and related documentation and correspondence.	AC+2	0	AC+2	AC = After term.				
	400719	Name Changes Records This series documents students' or applicants' name changes reported to the admissions or registrar's offices by students. Records may include but are not limited to: letters requesting change in name; name change forms; lists or reports of students with changed names; and related documentation and correspondence.	PM	0	PM					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4008 SOM / Area Health Education Center (AHEC)								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	400801	Projects This series documents the activities of an office which are performed in addition to its regular duties. This series may include completed surveys and questionnaires, working papers for the project, questionnaire and survey forms; and other related correspondence.	AC+3	0	AC+3	O	AC = After completion.			
1.1.007	400802	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	0	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 University 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.			
1.1.008	400803	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4008 SOM / Area Health Education Center (AHEC)								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	400804	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.043	400805	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	400806	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	400807	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.067	400808	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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Form SLR 105C must accompany this form

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4008 SOM / Area Health Education Center (AHEC)								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.001	400809	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	400810	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
2.1.007	400811	Software Programs Automated software applications and operating system files including job control language, program listing/source code, etc.	AC	0	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4008 SOM / Area Health Education Center (AHEC)								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
2.2.010	400812	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	0	US+3	CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number 2.1.009. 40 TAC 815.106(i). UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
2.2.012	400813	Output Records for Computer Production Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV	0	AV					
3.4.006	400814	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4					
3.4.007	400815	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.1.007	400816	Transfers or Budget Revisions Transfers or adjustment to budgets.	FE+9	0	FE+9					

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4008 SOM / Area Health Education Center (AHEC)								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.4.001	400817	General and Subsidiary Ledgers	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.5.002	400818	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.7	400819	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4008 SOM / Area Health Education Center (AHEC)								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.7	400820	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.1	400821	Housing / Tenant Records This series provides a record of occupancy in all institution administered housing. This series may include but is not limited to: reservation/housing agreements, tenant rent and deposit receipts, tenant discrepancy memos, rent delinquent notices, vacating notices; and related documentation and correspondence.	AC+4	0	AC+4	AC = After expiration of contract.				
5.2.009	400822	Equipment Inventory Detail Report Forms Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4010 Enrollment Services / Financial Aid								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks	O			
1.1	401001	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1	401002	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1	401003	Reports And Studies - Special Activity This series documents the activities of a University department. Examples may include the completion of surveys and questionnaires, compilation of special studies for professional or academic associations, and special mailings. This series may include but is not limited to: arrangements documentation; working papers; questionnaires; survey forms; study designs; reports; and related documentation and correspondence.	10	0	10	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4010 Enrollment Services / Financial Aid								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	401004	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	0	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 University 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.				
1.1.008	401005	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4010 Enrollment Services / Financial Aid								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	401006	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.038	401007	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3	AC = After completion of survey. SEE item number 1.1.067 for summary reports compiled from customer surveys.				
1.1.040	401008	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4010 Enrollment Services / Financial Aid								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	401009	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.065	401010	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.				
1.1.067	401011	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4010 Enrollment Services / Financial Aid								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	401012	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
4.4.001	401013	General and Subsidiary Ledgers	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.4.002	401014	Accounts Receivable Ledgers	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.5.002	401015	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4010 Enrollment Services / Financial Aid								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.1.001	401016	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+6	0	AC+6	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2).				
	401017	Award Year Documents This records series may contain but is not limited to: applications to participate in federal programs, reports submitted by outside agencies containing financial information, internal reports requesting student information, questionnaires from other schools, documentation showing compliance with federal guidelines of the award year (may include general ledgers, internal reports, program award letters, and lists of eligible students), and related documentation and correspondence.	AC+3	0	AC+3	AC = End Of UTMB Award Year.				
	401018	Financial Aid Records These records document awards of financial aid to a student. Records may include but are not limited to: award of scholarship to students, correspondence, pell grant information, eligibility information, loan information, applications, recommendations, grade listings, statements of need, accounting records, and approvals or denials.	AC+5	0	AC+5	AC = After funds are dispersed.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4010 Enrollment Services / Financial Aid								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
	401019	Honors / Awards / Eligibility And History This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. The series may include but is not limited to: eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases.	PM	0	PM					
	401020	Honors / Awards / Supporting Documentation Records that document the process of selecting honors and award winners. Records may include but are not limited to: applications, nomination letters, recommendations, letters of award notification or denial, letters accepting or declining awards, vote tallies, transcripts, CV's, essays, course evaluations, ranking sheets, and related documentation and correspondence.	FE+3	0	FE+3					
	401021	Promissory Notes This series consists of the promissory notes for student loans negotiated for the current academic year. The notes become part of the borrowers loan records at the end of the academic year.	AC+3	0	AC+3	AC = After repayment.				

Retention Codes (Field 7)

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Archival Codes (Field 8)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4014 AS / Graduate School of Biomedical Sciences								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	401401	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US	3	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	401402	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1.007	401403	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	0	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 University Archives when these records have met their retention periods. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4014 AS / Graduate School of Biomedical Sciences								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	401404	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.057	401405	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
3.3.023	401406	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	0	FE+3					
3.4.006	401407	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal
CE - Calendar Year End FE - Fiscal Year End	
LA - Life Of Asset MO - Months	
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4014 AS / Graduate School of Biomedical Sciences								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
3.4.007	401408	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.2.005	401409	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.5.006	401410	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3					
4.6.002	401411	Reconciliations	FE+3	0	FE+3					
	401412	Admissions Records / Accepted This series documents the application process for individuals seeking admission to the institution or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC	5	AC+5		AC = Graduation or date of last attendance.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4014 AS / Graduate School of Biomedical Sciences								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	401413	Admissions Records / Denied This series documents the applications process for individuals that have been denied admission to the University or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC	1	AC+1	AC = After application term.				
	401414	Catalog / Bulletin Records This series provides a record of institutional policies and procedures, program requirements, and course offerings. Information in the individual catalogs and bulletins includes academic policies and procedures, program names and descriptions, course names and descriptions, alphanumeric course designations, credits offered per course, and related program and course information. Records may include but are not limited to: published copies of catalogs and bulletins including the general, graduate, and summer session catalog/bulletin, mock-ups of catalogs and bulletins, preparation and working papers, and related documentation and correspondence.	AC+2	0	AC+2	I AC = After term. ARCHIVES NOTE: Transfer a copy of all catalogs or bulletins to the University Archives upon publication.				
	401415	Certification Records This series documents the preparation of students earning degrees and/or certification for licenses or certificates to enter a profession and forms the basis of the initial certification for various professions. Records may include but are not limited to: applications for admission to a program, registration for practicum hours and evidence of the completion of the practicum, transcripts, narrative evaluations on practicum, notice of completion of hours required for certification, recommendations and evaluations, and related correspondence.	AC+5	0	AC+5	AC = After initial certification.				

Retention Codes (Field 7)

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US - Until Superseded

Archival Codes (Field 8)

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O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4014 AS / Graduate School of Biomedical Sciences								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	401420	International Student Records / Accepted This series documents institution assistance to international students who have been admitted to academic programs. These records primarily concern institution admissions, immigration issues, and other non-academic matters. Records may include but are not limited to: copies of visas, scholarship information, institution admissions forms, graduate school applications, transcripts of previous college work, grade reports of prior college work, grade reports from institutional courses, international student advisors' notes, degree completion certificates, explanations for student withdrawals, recommendations and evaluations of students, and related documentation and correspondence.	AC	7	AC+7	AC = After last enrollment.				
	401421	International Student Records / Denied This series documents institution assistance to international students who have failed to enroll in academic programs. These records primarily concern institution admissions, immigration issues, and other non-academic matters. Records may include but are not limited to: copies of visas, scholarship information, institution admissions forms, graduate school applications, transcripts of previous college work, grade reports of prior college work, grade reports from institutional courses, international student advisors' notes, degree completion certificates, explanations for student withdrawals, recommendations and evaluations of students, and related documentation and correspondence.	AC	2	AC+2	AC = After term.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4014 AS / Graduate School of Biomedical Sciences								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	401422	Name Changes Records This series documents students' or applicants' name changes reported to the admissions or registrar's offices by students. Records may include but are not limited to: letters requesting change in name; name change forms; lists or reports of students with changed names; and related documentation and correspondence.	PM	0	PM					
	401423	Program And Course Development Records This records series documents the development, approval, and the implementation of undergraduate, graduate, and professional degree programs and any other reorganizations or changes to established programs. Records may include but are not limited to: working papers, final reports, related course descriptions, outlines, sample examinations, textbook lists, etc.	6	0	6	O				
	401424	Recruitment Records This series provides a record of recruiter visits to the campus to conduct job interviews. Records may include but are not limited to: scheduling calendars; recruiter schedules; affirmative action statements; recruiter information forms, list of interviewees, feedback forms from recruiters, and related documentation and correspondence.	2	0	2	I				
	401425	Scholarships Awarded by Department / Selection Records A record of recipients of departmentally-administered scholarship funds (not administered by University Financial Aid Office). May include application materials for students receiving the scholarships; forms rating the applicants; award notification letters, etc	AC+6	0	AC+6	AC = After award.				

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Archival Codes (Field 8)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4014 AS / Graduate School of Biomedical Sciences								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	401426	Student Academic Records Records may include but are not be limited to: date of admission, period of attendance, academic work undertaken, academic work successfully completed, honors awarded, diploma, degree, or certificate earned, and appropriate evaluation of work completed for students such as medical, nurses, and other professional type students. Also includes course changes and add/drops.	AC	10	AC+10	AC = Graduation or date of last attendance.				
	401427	Student Grievance Records This series documents grievances brought forward by students against the institution which do not result in litigation. Grievances may pertain to academic issues, housing, affirmative action and equal opportunity, student conduct, and other issues. Records may include but are not limited to: notices of grievance, informal discussion notes, grievance responses, formal hearing notes (including audio tapes), final summary statements, settlement agreements, appeals documentation, and related records.	AC+3	0	AC+3	AC = After resolution.				
	401428	Student Recruitment Records This series documents efforts of the institutional units to recruit students based upon disadvantaged status, academic performance, and other criteria. Records may include but are not limited to: prospects lists, interview and conversation notes, personal information forms and resumes, test scores, academic transcripts, travel and hotel accommodations, and related documentation and correspondence.	1	4	5					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4015 Office Of The Executive Vice President And Provost Dean, School Of Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	401501	Academic Departmental Reviews A record of periodic departmental self-evaluation and assessment by an external site visit team to determine departmental strengths and weaknesses. The records series may or may not include the following: self-study report, final report of site-visit team, review schedule, five-year plan, etc.	US+2	0	US+2					
1.1	401502	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+1	2	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	401503	Committee Election and Appointment Records This series documents the appointment to and the election of faculty to committees. This series may include but is not limited to: ballots, tabulations, letters of appointment, committee membership rosters, and related documentation and correspondence.	AV	0	AV					
1.1	401504	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4015 Office Of The Executive Vice President And Provost Dean, School Of Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	401505	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1.007	401506	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	0	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 University 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.				
1.1.008	401507	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4015 Office Of The Executive Vice President And Provost Dean, School Of Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	401508	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.024	401509	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+1	2	AC+3	O AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.				
1.1.040	401510	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				
1.1.043	401511	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4015 Office Of The Executive Vice President And Provost Dean, School Of Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	401512	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	401513	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.065	401514	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	401515	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4015 Office Of The Executive Vice President And Provost Dean, School Of Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	401516	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O				
1.3.001	401517	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	AC+2	O				
1.3.002	401518	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4015 Office Of The Executive Vice President And Provost Dean, School Of Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.1	401519	Appointment, Promotion, And Tenure Records This series documents the periodic consideration of faculty who are eligible for promotion in rank and change in tenure status, appointments to the ranks of Associate Professor and Professor and to endowed Chairs and Professorships, and compliance with U.T. System regulations for periodic performance evaluation of tenured faculty. Records may include but are not limited to appointment, promotion and tenure proposals submitted by departments for review by the School of Medicine Appointment, Promotion, and Tenure (APT) Committee and the Executive Committee - Faculty of Medicine, committee recommendations and approvals, and documentation of post-tenure review recommendations. Proposals may include but are not limited to: Chairs' letter of proposal, departmental APT committee's letter of recommendation, letters of evaluation and a current curriculum vitae. These files should always be maintained physically separate from faculty files.	AC+5	0	AC+5	O AC = Termination of Employment. 29 CFR 1602.49.				
3.1	401520	Employee Authorization Form This records series documents the administrative approval process for new positions within a department. This series may contain but is not limited to information about the hiring manager; position, funding, budget information, justification for the position and approval signatures.	FE+2	0	FE+2					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4015 Office Of The Executive Vice President And Provost Dean, School Of Medicine								
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			Agency	Storage	Total	9. Remarks				
3.1.014	401521	Employment Selection Records May include but not be limited to: 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.	1	1	2	29 CFR 1602.49(a) [State Universities]. CAUTION: Does not include criminal history checks. SEE item number 3.1.026.				
3.1.018	401522	Grievance Records Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC	2	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.				
3.4.006	401523	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	401524	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.5.002	401525	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+1	2	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.5.006	401526	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3					

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STATE OF TEXAS

Records Retention Schedule

APPROVED

SLR 105
Form SLR 105C must accompany this form

1. Page 808 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4015 Office Of The Executive Vice President And Provost Dean, School Of Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.1.004	401527	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.2.008	401528	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.	LA+3	0	LA+3					
	401529	Honors / Awards / Eligibility And History This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. The series may include but is not limited to: eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases.	AV	PM	PM					
	401530	Program And Course Development Records This records series documents the development, approval, and the implementation of undergraduate, graduate, and professional degree programs and any other reorganizations or changes to established programs. Records may include but are not limited to: working papers, final reports, related course descriptions, outlines, sample examinations, textbook lists, etc.	6	0	6				O	

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4015 Office Of The Executive Vice President And Provost Dean, School Of Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	401531	Research Misconduct Records This series includes documentation and reports of any observed, suspected, or apparent research misconduct to the Scientific Integrity Committee. This series may include but is not limited to: Allegations of research misconduct, conflict of interest forms, research misconduct investigations, interview transcripts and/or recordings, all research misconduct proceeding documentation, committee meeting minutes and notes, inquiry reports, final investigation report, decision not to investigate, and any additional supporting documentation and correspondence.	AC+7	0	AC+7	AC= Completion of the proceeding. 42 CFR 93.317 and IHOP 5.7.5				
	401532	Student Grievance Records This series documents grievances brought forward by students against the institution which do not result in litigation. Grievances may pertain to academic issues, housing, affirmative action and equal opportunity, student conduct, and other issues. Records may include but are not limited to: notices of grievance, informal discussion notes, grievance responses, formal hearing notes (including audio tapes), final summary statements, settlement agreements, appeals documentation, and related records.	AC+3	0	AC+3	AC = After resolution.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4016 AS / Student Affairs / School Of Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.007	401604	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	0	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 University 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.			
1.1.008	401605	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4016 AS / Student Affairs / School Of Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	401606	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.024	401607	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.			
1.1.040	401608	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4016 AS / Student Affairs / School Of Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	401609	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.067	401610	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4016 AS / Student Affairs / School Of Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.001	401611	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	401612	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.4.006	401613	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	401614	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.2.002	401615	Cash Receipts Includes receipts for fees (permits, licenses, renewals, etc.)	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4016 AS / Student Affairs / School Of Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.5.002	401616	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.5.005	401617	External Fiscal Reports Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE+3	0	FE+3					
4.5.006	401618	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3					
4.6.002	401619	Reconciliations	FE+3	0	FE+3					
4.7	401620	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+2	2	AC+4		AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.			

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
 RMAN: 4016 AS / Student Affairs / School Of Medicine

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number
			Agency	Storage	Total				
5.1	401621	Registered Mail Receipts This records series consists of receipts for registered mail.	1	0	1				
5.1.004	401622	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	0	US		Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.		
5.1.014	401623	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	0	US+1				
	401624	Admissions Records / Accepted This series documents the application process for individuals seeking admission to the institution or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC	5	AC+5		AC = Graduation or date of last attendance.		
	401625	Admissions Records / Denied This series documents the applications process for individuals that have been denied admission to the University or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC	1	AC+1		AC = After application term.		

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4016 AS / Student Affairs / School Of Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	401626	Catalog / Bulletin Records This series provides a record of institutional policies and procedures, program requirements, and course offerings. Information in the individual catalogs and bulletins includes academic policies and procedures, program names and descriptions, course names and descriptions, alphanumeric course designations, credits offered per course, and related program and course information. Records may include but are not limited to: published copies of catalogs and bulletins including the general, graduate, and summer session catalog/bulletin, mock-ups of catalogs and bulletins, preparation and working papers, and related documentation and correspondence.	AC+2	0	AC+2	I AC = After term. ARCHIVES NOTE: Transfer a copy of all catalogs or bulletins to the University Archives upon publication.				
	401627	Commencement Records This series documents commencement program planning and implementation at the institution. Records may include but are not limited to: commencement attendance forms, planning records created by commencement committees or other planning groups, and related documentation and correspondence.	AV	PM	PM					
	401628	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				
	401629	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	AC+7	0	AC+7	AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4016 AS / Student Affairs / School Of Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
	401630	Honors / Awards / Eligibility And History This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. The series may include but is not limited to: eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases.	PM	0	PM					
	401631	Honors / Awards / Supporting Documentation Records that document the process of selecting honors and award winners. Records may include but are not limited to: applications, nomination letters, recommendations, letters of award notification or denial, letters accepting or declining awards, vote tallies, transcripts, CV's, essays, course evaluations, ranking sheets, and related documentation and correspondence.	FE+3	0	FE+3					
	401632	Non-Institution Student Records This records series documents the administrative activities of special instructional and support programs directed to serve elementary through high school and non-institution students belonging to special groups. The series may include but is not limited to: policy and program planning and development documentation; evaluations of courses, support services, and instructors; program course outlines; attendance records; reports; statistical reports; working papers; and related documentation and correspondence.	AC+1	4	AC+5	O	AC = Completion or date of last attendance.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4016 AS / Student Affairs / School Of Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	401633	Recruitment Records This series provides a record of recruiter visits to the campus to conduct job interviews. Records may include but are not limited to: scheduling calendars; recruiter schedules; affirmative action statements; recruiter information forms, list of interviewees, feedback forms from recruiters, and related documentation and correspondence.	2	0	2	I				
	401634	Scholarships Awarded by Department / Selection Records A record of recipients of departmentally-administered scholarship funds (not administered by University Financial Aid Office). May include application materials for students receiving the scholarships; forms rating the applicants; award notification letters, etc	AC+6	0	AC+6		AC = After award.			
	401635	Student Academic Records Records may include but are not be limited to: date of admission, period of attendance, academic work undertaken, academic work successfully completed, honors awarded, diploma, degree, or certificate earned, and appropriate evaluation of work completed for students such as medical, nurses, and other professional type students. Also includes course changes and add/drops.	AC+2	8	AC+10		AC = Graduation or date of last attendance.			
	401636	Student Misconduct Records This series is used to provide a record of accusations of misconduct brought forward by faculty, students, and individuals external to the institution relating to student misconduct. Records may include but are not limited to: accusation statements, inquiry committee findings, copies of subpoenas, attorney notes, court judgments, and related correspondence.	AC+5	0	AC+5		AC = After completion of investigation.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4023 SOM / PMCH / Office Of Biostatistics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.008	402301	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.057	402302	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	402303	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.065	402304	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4023 SOM / PMCH / Office Of Biostatistics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.067	402305	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O				
1.3.001	402306	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	AC+2					
1.3.002	402307	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
2.2.016	402308	Software Registrations, Warranties And License Agreements	LA+3	0	LA+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4023 SOM / PMCH / Office Of Biostatistics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.1.002	402309	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				
5.1.012	402310	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	0	US+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4024 Office Of Clinical Simulation								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	402401	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1.007	402402	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	0	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 University 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.				
1.1.008	402403	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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1. Page 825 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4024 Office Of Clinical Simulation								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	402404	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.024	402405	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.				
1.1.040	402406	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				
1.1.043	402407	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4024 Office Of Clinical Simulation								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	402408	<p>Transitory Information</p> <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; 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	0	AC	AC = Purpose of record has been fulfilled.				
1.1.063	402409	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.065	402410	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	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.				
1.1.067	402411	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4024 Office Of Clinical Simulation								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.3.001	402412	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	402413	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
4.1	402414	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+7	0	FE+7					
4.5.002	402415	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4024 Office Of Clinical Simulation								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.6.002	402416	Reconciliations	FE+3	0	FE+3					
4.7	402417	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.1.004	402418	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.1.012	402419	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	0	US+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4025 AS / Office Of Educational Development								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	402501	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1	402502	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1.007	402503	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	0	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 University 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.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4025 AS / Office Of Educational Development								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.008	402504	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			
1.1.013	402505	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.024	402506	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.			
1.1.040	402507	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4025 AS / Office Of Educational Development								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.043	402508	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					
1.1.057	402509	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	402510	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.065	402511	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4025 AS / Office Of Educational Development								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.067	402512	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
1.3.001	402513	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).			
1.3.002	402514	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4025 AS / Office Of Educational Development								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total					
4.1	402515	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+7	0	FE+7					
4.5.002	402516	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.6.002	402517	Reconciliations	FE+3	0	FE+3					
4.7	402518	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4025 AS / Office Of Educational Development								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
5.1.004	402519	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.2.010	402520	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				
5.2.011	402521	Equipment Warranties	AC+1	0	AC+1	AC = After expiration.				
	402522	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	AC+7	0	AC+7	AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).				
	402523	Honors / Awards / Eligibility And History This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. The series may include but is not limited to: eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases.	PM	0	PM					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4025 AS / Office Of Educational Development								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	402524	Honors / Awards / Supporting Documentation Records that document the process of selecting honors and award winners. Records may include but are not limited to: applications, nomination letters, recommendations, letters of award notification or denial, letters accepting or declining awards, vote tallies, transcripts, CV's, essays, course evaluations, ranking sheets, and related documentation and correspondence.	FE+3	0	FE+3					
	402525	Honors And Awards / Applications - Not Awarded This series documents the nomination or applications of students for honors or awards that are not awarded.	AC+2	0	AC+2	AC = After completion of application process.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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1. Page 837 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4026 SOM / Institute For Medical Humanities								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	402601	Alumni Records This records series documents the activities of a department's alumni and may also provide alumni offices with information on alumni. Records may be used to: create a network of support from alumni, primarily through organized alumni groups; to track alumni; to monitor their achievements, activities, and recognitions; to create statistics; to reply to information requests; and to provide information on the accomplishments of previous students. This series may include but is not limited to: memberships lists with names, addresses, employer names and addresses, and positions; minutes, and directories; promotional materials concerning annual gatherings; homecoming plans and programs; data cards and files for individual alumni; degree recipient lists; outstanding alumni lists; student leader lists; class officer lists; foreign student rosters; international alumni club records; and notes, memoranda, and related correspondence concerning general alumni affairs.	PM	0	PM					
1.1	402602	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.			

Retention Codes (Field 7)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4026 SOM / Institute For Medical Humanities								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	402603	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1	402604	Special Lectures This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on catering arrangements; news releases; recordings and transcripts; photographs; and related documentation and correspondence.	CE+5	0	CE+5	O				
1.1.007	402605	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	0	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 University 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.			

Retention Codes (Field 7)

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Archival Codes (Field 8)

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1. Page 839 of 1402

2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4026 SOM / Institute For Medical Humanities

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number
			Agency	Storage	Total	9. Remarks		
1.1.008	402606	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	0	2			
1.1.013	402607	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.		
1.1.040	402608	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4026 SOM / Institute For Medical Humanities								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	402609	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.3.001	402610	<p>State Publications</p> <p>One copy of each state publication as defined on page xi of the introduction 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.</p>	AC+2	0	AC+2	<p>AC = Until superseded or obsolete.</p> <p>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).</p>				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4026 SOM / Institute For Medical Humanities								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.002	402611	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.4.006	402612	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4		40 TAC 815.106(i).			
3.4.007	402613	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.2.002	402614	Cash Receipts Includes receipts for fees (permits, licenses, renewals, etc.)	FE+1	2	FE+3					
4.2.003	402615	Daily Cash Receipts Logs	FE+3	0	FE+3					
4.6.002	402616	Reconciliations	FE+3	0	FE+3					
4.7	402617	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2		AC = After notification.			

Retention Codes (Field 7)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4026 SOM / Institute For Medical Humanities								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.7	402618	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+1	3	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.1.004	402619	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
	402620	Admissions Records / Accepted This series documents the application process for individuals seeking admission to the institution or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC+5	0	AC+5	AC = Graduation or date of last attendance.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4026 SOM / Institute For Medical Humanities								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	402621	Admissions Records / Denied This series documents the applications process for individuals that have been denied admission to the University or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC+1	0	AC+1	AC = After application term.				
	402622	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				
	402623	Grade Reports This series documents grades received by students for the term. The series includes but is not limited to: course numbers and titles, grades awarded, grade point average, student name, and social security number.	AC+1	0	AC+1	AC = Date distributed. Information may be exempt from public disclosure.				
	402624	International Student Records / Accepted This series documents institution assistance to international students who have been admitted to academic programs. These records primarily concern institution admissions, immigration issues, and other non-academic matters. Records may include but are not limited to: copies of visas, scholarship information, institution admissions forms, graduate school applications, transcripts of previous college work, grade reports of prior college work, grade reports from institutional courses, international student advisors' notes, degree completion certificates, explanations for student withdrawals, recommendations and evaluations of students, and related documentation and correspondence.	AC+7	0	AC+7	AC = After last enrollment.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4026 SOM / Institute For Medical Humanities								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	402625	International Student Records / Denied This series documents institution assistance to international students who have failed to enroll in academic programs. These records primarily concern institution admissions, immigration issues, and other non-academic matters. Records may include but are not limited to: copies of visas, scholarship information, institution admissions forms, graduate school applications, transcripts of previous college work, grade reports of prior college work, grade reports from institutional courses, international student advisors' notes, degree completion certificates, explanations for student withdrawals, recommendations and evaluations of students, and related documentation and correspondence.	AC+2	0	AC+2	AC = After term.				
	402626	Student Academic Records Records may include but are not be limited to: date of admission, period of attendance, academic work undertaken, academic work successfully completed, honors awarded, diploma, degree, or certificate earned, and appropriate evaluation of work completed for students such as medical, nurses, and other professional type students. Also includes course changes and add/drops.	AC+5	5	AC+10	AC = Graduation or date of last attendance.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4027 Institute For The Medical Humanities / Institutional Ethics Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
1.1	402701	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1.007	402702	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	0	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 University 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.			
1.1.008	402703	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4027 Institute For The Medical Humanities / Institutional Ethics Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	402704	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	402705	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4027 Institute For The Medical Humanities / Institutional Ethics Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.067	402706	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O. Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.			
5.1.004	402707	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	0	US					
5.1.014	402708	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	0	US+1					
	402709	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE+5	0	FE+5					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4028 SON / Office Of The Dean / Nursing School								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	402801	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	402802	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.			
1.1	402803	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1	402804	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4028 SON / Office Of The Dean / Nursing School								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	402805	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	0	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 University 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.				
1.1.008	402806	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4028 SON / Office Of The Dean / Nursing School								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	402807	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.019	402808	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	0	2	O				
1.1.023	402809	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I	Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.			
1.1.040	402810	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4028 SON / Office Of The Dean / Nursing School								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.055	402811	Strategic Plans Information resources and operational strategic plans prepared in accordance with 2054.095 and 2056.002, Government Code.	AC+6	0	AC+6	I	AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.			
1.1.057	402812	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC		AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).			
1.1.067	402813	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4028 SON / Office Of The Dean / Nursing School								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.001	402814	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	402815	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4028 SON / Office Of The Dean / Nursing School								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.1	402816	Appointment, Promotion, And Tenure Records This series documents the periodic consideration of faculty who are eligible for promotion in rank and change in tenure status, appointments to the ranks of Associate Professor and Professor and to endowed Chairs and Professorships, and compliance with U.T. System regulations for periodic performance evaluation of tenured faculty. Records may include but are not limited to appointment, promotion and tenure proposals submitted by departments for review by the School of Medicine Appointment, Promotion, and Tenure (APT) Committee and the Executive Committee - Faculty of Medicine, committee recommendations and approvals, and documentation of post-tenure review recommendations. Proposals may include but are not limited to: Chairs' letter of proposal, departmental APT committee's letter of recommendation, letters of evaluation and a current curriculum vitae. These files should always be maintained physically separate from faculty files.	AC+5	0	AC+5	O AC = Termination of Employment. 29 CFR 1602.49.				
5.1.004	402817	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	0	US	O Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4031 SON / Business Affairs Office								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	403101	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	0	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 University 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.				
1.1.008	403102	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4031 SON / Business Affairs Office								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	403103	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	403104	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4031 SON / Business Affairs Office								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
3.3.023	403105	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	FE+3					
3.4.006	403106	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
4.1.007	403107	Transfers or Budget Revisions Transfers or adjustment to budgets.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.2.005	403108	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4031 SON / Business Affairs Office								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.5.002	403109	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
5.1.001	403110	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+6	0	AC+6	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2).				
5.1.004	403111	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4032 SON / Grants Management Office								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	403201	Administrative Reference Files These records are created to assist in the completion of projects and/or reference, and are usually only needed for a short period of time.	1	0	1					
1.1	403202	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1.007	403203	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	0	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 University 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.				
1.1.008	403204	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4032 SON / Grants Management Office								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.040	403205	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			
1.1.057	403206	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC		AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).			
1.1.063	403207	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4032 SON / Grants Management Office								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.067	403208	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
1.3.001	403209	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).			
1.3.002	403210	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
4.7	403211	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2		AC = After notification.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4032 SON / Grants Management Office								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.7	403212	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.2.005	403213	Calibration Records (Equipment or Instrument)	10	0	10					
5.2.018	403214	Quality Control Reports	2	0	2					
5.4.009	403215	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	403216	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				
	403217	Applications for Internal Research Support Funds - Denied A record of denied applications for faculty and student research support funds established within a School or department. Records may include but are not limited to: applications, proposals, and related correspondence.	AC+2	0	AC+2	AC = After notification.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4032 SON / Grants Management Office								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	403218	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					
	403219	Medical Research / Participant This series includes records collected for research purposes when UTMB is a clinical investigation site for an outside entity conducting the research. Records may include but are not limited to: the research services agreement with the outside entity and any research data collected and submitted to that outside entity for its study as well as any related documentation and correspondence.	AC+4	0	AC+4	AC = After completion of study.				
	403220	Non-Regulated Research Data Research data compiled from primary sources, includes laboratory notes.	AC+7	0	AC+7	AC = After completion of study.				
	403221	Surgical Instrument Sterilization Records This series documents the sterilization of surgical instruments. This series may include but is not limited to: autoclave recording charts and log sheets indicating date, load number, items sterilized, and temperature / time settings.	FE+3	0	FE+3					
	403222	UTMB Sponsored Medical Research / Human (Regulated By FDA) This records series includes UTMB sponsored human related medical research, experiments and data collected. Includes the signed informed consent form and any data safety monitoring reports.	AC+15	0	AC+15	AC = After last contact with subject.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4035 Neuroscience And Cell Biology / Graduate Programs								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	403501	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1	403502	Special Lectures This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on catering arrangements; news releases; recordings and transcripts; photographs; and related documentation and correspondence.	CE+5	0	CE+5	O				
1.1.007	403503	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	0	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 University Archives when these records have met their retention periods. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4035 Neuroscience And Cell Biology / Graduate Programs								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total					
1.1.008	403504	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.057	403505	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.065	403506	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4035 Neuroscience And Cell Biology / Graduate Programs								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.067	403507	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
1.1.070	403508	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			
	403509	Admissions Records / Accepted This series documents the application process for individuals seeking admission to the institution or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC+5	0	AC+5		AC = Graduation or date of last attendance.			
	403510	Admissions Records / Denied This series documents the applications process for individuals that have been denied admission to the University or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC+1	0	AC+1		AC = After application term.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4035 Neuroscience And Cell Biology / Graduate Programs								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	403511	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				
	403512	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	AC+7	0	AC+7	AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).				
	403513	Honors / Awards / Eligibility And History This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. The series may include but is not limited to: eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases.	PM	0	PM					
	403514	Honors / Awards / Supporting Documentation Records that document the process of selecting honors and award winners. Records may include but are not limited to: applications, nomination letters, recommendations, letters of award notification or denial, letters accepting or declining awards, vote tallies, transcripts, CV's, essays, course evaluations, ranking sheets, and related documentation and correspondence.	FE+3	0	FE+3					
	403515	Honors And Awards / Applications - Not Awarded This series documents the nomination or applications of students for honors or awards that are not awarded.	AC+2	0	AC+2	AC = After completion of application process.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4035 Neuroscience And Cell Biology / Graduate Programs								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	403516	Student Academic Records Records may include but are not be limited to: date of admission, period of attendance, academic work undertaken, academic work successfully completed, honors awarded, diploma, degree, or certificate earned, and appropriate evaluation of work completed for students such as medical, nurses, and other professional type students. Also includes course changes and add/drops.	AC+10	0	AC+10	AC = Graduation or date of last attendance.				
	403517	Test Questions And Examinations Records may include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC+2	0	AC+2	AC = After graduation or date of last attendance.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4036 Neuroscience And Cell Biology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	403601	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1	403602	Reports And Studies - Special Activity This series documents the activities of a University department. Examples may include the completion of surveys and questionnaires, compilation of special studies for professional or academic associations, and special mailings. This series may include but is not limited to: arrangements documentation; working papers; questionnaires; survey forms; study designs; reports; and related documentation and correspondence.	10	0	10	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention.			
1.1.007	403603	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	0	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 University Archives when these records have met their retention periods. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4036 Neuroscience And Cell Biology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.057	403606	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	403607	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
3.4.006	403608	<p>Time Cards and Time Sheets</p> <p>A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.</p>	FE+1	3	FE+4	40 TAC 815.106(i).				
3.4.007	403609	<p>Time Off and/or Sick Leave Requests</p> <p>This records series may include but not be limited to Leave Request Forms and other supporting documentation.</p>	FE+1	2	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4036 Neuroscience And Cell Biology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.5.002	403610	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.7	403611	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				
4.7	403612	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+2	2	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.2.008	403613	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.	LA+3	0	LA+3					
5.2.014	403614	Inventory - Annual Physical Property, equipment, and supply verification.	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4037 Animal Resources Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.008	403704	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			
1.1.013	403705	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.023	403706	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I	Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.			
1.1.038	403707	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3		AC = After completion of survey. SEE item number 1.1.067 for summary reports compiled from customer surveys.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4037 Animal Resources Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.043	403708	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					
1.1.057	403709	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	403710	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4037 Animal Resources Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	403711	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.1.014	403712	Employment Selection Records May include but not be limited to: 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	0	2	29 CFR 1602.49(a) [State Universities]. CAUTION: Does not include criminal history checks. SEE item number 3.1.026.				
3.1.027	403713	Training and Educational Achievement Records (Individual) Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC+5	0	AC+5	AC = Termination of employment.				
3.3.023	403714	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	0	FE+3					
3.4.007	403715	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4037 Animal Resources Center								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.1	403716	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+7	0	FE+7					
4.1.002	403717	Billing Detail Provides itemized billing record for services rendered.	FE	9	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				
4.2.002	403718	Cash Receipts Includes receipts for fees (permits, licenses, renewals, etc.)	FE+3	0	FE+3					
4.2.005	403719	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	9	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				

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			Agency	Storage	Total	9. Remarks				
4.5.002	403720	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
5.1.001	403721	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+6	0	AC+6	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2).				
5.1.012	403722	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	0	US+3					
5.2.008	403723	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.	LA+3	0	LA+3					
5.2.010	403724	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				

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			Agency	Storage	Total				9. Remarks	
5.2.018	403725	Quality Control Reports	2	0	2					
5.4.001	403726	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 Workers' Compensation Commission or its predecessors or maintained internally on accident frequency.	CE+5	0	CE+5	29 CFR 1904.33. The Texas Department of Insurance retains copies of the reports submitted to it for 50 years. AC = After completion. 9 CFR § 2.35f. AC = Until superseded, date of expiration, date of termination or whichever is sooner.				
	403727	Animal Clinical Record This records series documents care and the USDA final disposition information. The series may include but is not limited to investigator, vendor, protocol, and location information.	AC	3	AC+3					
	403728	Building Access Control Records / High Security Buildings This records series documents access to high security buildings. This series may include but is not limited to access lists, sign in sheets, logs, registers, instruction books or emergency contact records.	AC+10	0	AC+10					
403729	Pharmacy Controlled Substance Records Consists of records that document the use and disposition of controlled substances. Including but not limited to: audits, inventories, and transfers between pharmacies, prescriptions, and dispositions of controlled substances, night medication sheets, and proof of use sheets.	3	0	3						

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	404101	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1.008	404102	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			
1.1.013	404103	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.023	404104	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I	Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.			

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	404105	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
3.3.020	404106	<p>Work Schedules / Assignments</p> <p>Work, duty, shift, crew, or case schedules, rosters, or assignments.</p>	1	0	1					
3.4.007	404107	<p>Time Off and/or Sick Leave Requests</p> <p>This records series may include but not be limited to Leave Request Forms and other supporting documentation.</p>	FE+3	0	FE+3					

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			Agency	Storage	Total	9. Remarks				
	404112	Internship Program Records This series is used to provide a record of the administration of student internship, practicum, clinical rotation, and cooperative education programs. Programs may be within the institution or off campus and for class credit and/or pay. Records may include but are not limited to: applications for internships inside and external to the institution, agreements with departments, postings/notices, student resumes, transcripts, copies of contracts, proposed institution listings, notes, and related documentation and correspondence.	AC+1	4	AC+5	AC = After graduation or date of last attendance.				
	404113	Laboratory Case Log The records series consists of a log of specimens received daily from patients which records the accession number, name of patient, requesting doctor, collection date, patient type, birth date, patient number.	2	0	2					
	404114	Laboratory Test Requests This records series consists of all requisitions authorizing a laboratory to perform tests on a sample. This series may include but is not limited to: the patient's name or identification number, the name or identifier of who ordered the test, the date and time of the specimen collection, the source of the specimen, the patient's gender and age or date of birth, physician's signature, and pertinent clinical information. Test results received from external reference labs may be included.	7	0	7					

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			Agency	Storage	Total	9. Remarks				
	404115	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+50	0	AC+50	AC = Completion of training.				
	404116	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE+1	4	FE+5					

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	404301	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O				
1.1	404302	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1.008	404303	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	0	2					
1.1.013	404304	Calendars, Appointment Books 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	0	CE+1	O				

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			Agency	Storage	Total					
1.1.023	404305	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I	Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.			
1.1.040	404306	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			
1.1.057	404307	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC		AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).			
1.1.063	404308	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	3	0	3		Retention is based on department policy.			

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1.1.067	404309	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O. AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071. 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).			
1.1.070	404310	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O				
1.3.001	404311	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	AC+2					

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1.3.002	404312	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
2.1.007	404313	Software Programs Automated software applications and operating system files including job control language, program listing/source code, etc.	AC	0	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.				
3.3.020	404314	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.4.006	404315	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+1	3	FE+4	40 TAC 815.106(i).				
3.4.007	404316	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

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			Agency	Storage	Total				9. Remarks	
4.1.002	404317	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				
4.7	404318	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+5	10	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.7	404319	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
	404320	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				
	404321	Medical Rotation Records / Medical Students Not Affiliated This records series documents medical students not affiliated with this university, but are accepted to practice medicine under the supervision of a licensed physician at this hospital as part of an elective not offered at their hospital. Records may include but are not limited to: formal request to rotate, CV, criminal background check, drug test, evaluations, and related correspondence.	AC+5	0	AC+5	AC = Completion of course or date of last attendance.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4043 SOM / Family Medicine / Galveston								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	404322	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+50	0	AC+50	AC = Completion of training.				
	404323	Recruitment Records This series provides a record of recruiter visits to the campus to conduct job interviews. Records may include but are not limited to: scheduling calendars; recruiter schedules; affirmative action statements; recruiter information forms, list of interviewees, feedback forms from recruiters, and related documentation and correspondence.	2	0	2	I				
	404324	Student Academic Records Records may include but are not be limited to: date of admission, period of attendance, academic work undertaken, academic work successfully completed, honors awarded, diploma, degree, or certificate earned, and appropriate evaluation of work completed for students such as medical, nurses, and other professional type students. Also includes course changes and add/drops.	AC+5	5	AC+10	AC = Graduation or date of last attendance. See also RSIN 9.1.058 Physicians In Training.				
	404325	Test Questions And Examinations Records may include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC+2	0	AC+2	AC = After graduation or date of last attendance.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4044 SHP / Physicians Assistant Studies								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	404401	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	404402	Alumni Records This records series documents the activities of a department's alumni and may also provide alumni offices with information on alumni. Records may be used to: create a network of support from alumni, primarily through organized alumni groups; to track alumni; to monitor their achievements, activities, and recognitions; to create statistics; to reply to information requests; and to provide information on the accomplishments of previous students. This series may include but is not limited to: memberships lists with names, addresses, employer names and addresses, and positions; minutes, and directories; promotional materials concerning annual gatherings; homecoming plans and programs; data cards and files for individual alumni; degree recipient lists; outstanding alumni lists; student leader lists; class officer lists; foreign student rosters; international alumni club records; and notes, memoranda, and related correspondence concerning general alumni affairs.	PM	0	PM					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4044 SHP / Physicians Assistant Studies								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.007	404403	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	0	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 University 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.			
1.1.008	404404	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			
1.1.024	404405	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.			

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Archival Codes (Field 8)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4044 SHP / Physicians Assistant Studies								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.040	404406	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			
1.1.057	404407	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC		AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).			
1.1.063	404408	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4044 SHP / Physicians Assistant Studies								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.067	404409	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
3.3.020	404410	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.4.007	404411	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.7	404412	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4044 SHP / Physicians Assistant Studies								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.7	404413	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.1.004	404414	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
	404415	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+1	6	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				
	404416	Student Academic Records Records may include but are not be limited to: date of admission, period of attendance, academic work undertaken, academic work successfully completed, honors awarded, diploma, degree, or certificate earned, and appropriate evaluation of work completed for students such as medical, nurses, and other professional type students. Also includes course changes and add/drops.	AC+1	9	AC+10	AC = Graduation or date of last attendance.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4045 SOM / Biochemistry And Molecular Biology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	404501	Special Lectures This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on catering arrangements; news releases; recordings and transcripts; photographs; and related documentation and correspondence.	CE+5	0	CE+5	O				
1.1.007	404502	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	0	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 University 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.			
1.1.008	404503	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4045 SOM / Biochemistry And Molecular Biology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	404504	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.024	404505	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.			
1.1.040	404506	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4045 SOM / Biochemistry And Molecular Biology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	404507	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.065	404508	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4045 SOM / Biochemistry And Molecular Biology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.3.001	404509	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	404510	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.1.014	404511	Employment Selection Records May include but not be limited to: 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	0	2	29 CFR 1602.49(a) [State Universities]. CAUTION: Does not include criminal history checks. SEE item number 3.1.026.				
3.4.006	404512	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4045 SOM / Biochemistry And Molecular Biology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total					
3.4.007	404513	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.1	404514	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+7	0	FE+7					
4.1.002	404515	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				
4.5.002	404516	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4045 SOM / Biochemistry And Molecular Biology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total					
5.2.010	404517	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	<p>Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.</p> <p>Texas Health and Safety Code, 502.005(d).</p> <p>AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.</p> <p>AC = After completion of study.</p>				
5.2.015	404518	Inventory, Notices of Equipment Removed from This series documents changes in state owned property, requests to declare items surplus, salvage, or scrap. Records may include but are not limited to Surplus Equipment Worksheet, related documentation, and correspondence.	FE+3	0	FE+3					
5.4.009	404519	Workplace Chemical Lists	30	0	30					
5.4.010	404520	Material Safety Data Sheets	AC	0	AC					
	404521	Research Data for Research that is Exempt from Human Subjects Review Research documentation and data obtained during the course of a study, which either does not use humans as study subjects or which is exempt from review or subject to expedited review by the Human Subjects Review Committee. May include anonymous surveys or questionnaires, research data from research using animal subjects, etc.	AC+7	0	AC+7					

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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1. Page 903 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4046 SOM / Biochemistry And Molecular Biology / Graduate Education								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	404601	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1	404602	Reports And Studies - Special Activity This series documents the activities of a University department. Examples may include the completion of surveys and questionnaires, compilation of special studies for professional or academic associations, and special mailings. This series may include but is not limited to: arrangements documentation; working papers; questionnaires; survey forms; study designs; reports; and related documentation and correspondence.	10	0	10	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention.			
1.1.007	404603	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	0	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 University 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.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4046 SOM / Biochemistry And Molecular Biology / Graduate Education								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.008	404604	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.057	404605	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.065	404606	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4046 SOM / Biochemistry And Molecular Biology / Graduate Education								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.067	404607	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				
	404608	Admissions Records / Accepted This series documents the application process for individuals seeking admission to the institution or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC+5	0	AC+5	AC = Graduation or date of last attendance.				
	404609	Admissions Records / Denied This series documents the applications process for individuals that have been denied admission to the University or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC+1	0	AC+1	AC = After application term.				
	404610	Honors / Awards / Supporting Documentation Records that document the process of selecting honors and award winners. Records may include but are not limited to: applications, nomination letters, recommendations, letters of award notification or denial, letters accepting or declining awards, vote tallies, transcripts, CV's, essays, course evaluations, ranking sheets, and related documentation and correspondence.	FE+3	0	FE+3					

Retention Codes (Field 7)	Archival Codes (Field 8)
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4046 SOM / Biochemistry And Molecular Biology / Graduate Education								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	404611	Recruitment Records This series provides a record of recruiter visits to the campus to conduct job interviews. Records may include but are not limited to: scheduling calendars; recruiter schedules; affirmative action statements; recruiter information forms, list of interviewees, feedback forms from recruiters, and related documentation and correspondence.	2	0	2	I				
	404612	Student Academic Records Records may include but are not be limited to: date of admission, period of attendance, academic work undertaken, academic work successfully completed, honors awarded, diploma, degree, or certificate earned, and appropriate evaluation of work completed for students such as medical, nurses, and other professional type students. Also includes course changes and add/drops.	AC+1	9	AC+10		AC = Graduation or date of last attendance.			
	404613	Test Questions And Examinations Records may include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC+2	0	AC+2		AC = After graduation or date of last attendance.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4048 SOM / Internal Medicine / Gastroenterology And Hepatology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	404801	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1.007	404802	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	0	4	O				
1.1.008	404803	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	0	2					

Retention Codes (Field 7)		Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled	CE - Calendar Year End	I - Retain in Archives
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	LA - Life Of Asset	
	MO - Months	
	PM - Permanent	
	US - Until Superseded	



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4048 SOM / Internal Medicine / Gastroenterology And Hepatology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	404804	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	404805	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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1. Page 909 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4048 SOM / Internal Medicine / Gastroenterology And Hepatology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
1.1.063	404806	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.067	404807	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
1.1.070	404808	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4048 SOM / Internal Medicine / Gastroenterology And Hepatology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.001	404809	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
3.3.020	404810	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.4.006	404811	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	404812	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4048 SOM / Internal Medicine / Gastroenterology And Hepatology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.5.002	404813	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.7	404814	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+5	10	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				
5.2.010	404815	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				

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Archival Codes (Field 8)

I - Retain in Archives
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4048 SOM / Internal Medicine / Gastroenterology And Hepatology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	404816	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+50	0	AC+50	AC = Completion of training.				
	404817	Research Data for Research that is Exempt from Human Subjects Review Research documentation and data obtained during the course of a study, which either does not use humans as study subjects or which is exempt from review or subject to expedited review by the Human Subjects Review Committee. May include anonymous surveys or questionnaires, research data from research using animal subjects, etc.	AC+7	0	AC+7	AC = After completion of study.				
	404818	UTMB Sponsored Medical Research / Animals This records series includes animal related research, experiments, and data collected.	6	0	6					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4049 SOM / Internal Medicine / Nephrology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	404901	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O				
1.1	404902	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1	404903	Special Lectures This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on catering arrangements; news releases; recordings and transcripts; photographs; and related documentation and correspondence.	CE+5	0	CE+5	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4049 SOM / Internal Medicine / Nephrology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.007	404904	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	0	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 University 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.			
1.1.008	404905	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4049 SOM / Internal Medicine / Nephrology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	404906	Calendars, Appointment Books 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	0	CE+1	O				
1.1.040	404907	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4049 SOM / Internal Medicine / Nephrology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	404908	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	404909	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.067	404910	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	O	<p>ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4049 SOM / Internal Medicine / Nephrology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.3.001	404911	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	404912	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.1	404913	Faculty and Non-teaching Recruitment Records This records series documents the recruitment of faculty and non-teaching positions by the University. Records may include but are not limited to: request to post, position description, recruiting plan (includes search committee list), advertising, interview detail, Approval To Interview Form (pre-interview summary), applicants recommended for interview, CV's for all applicants listed and related correspondence.	FE+2	0	FE+2					
3.3.020	404914	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					

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1. Page 918 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4049 SOM / Internal Medicine / Nephrology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.4.006	404915	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	404916	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.1.001	404917	Accounts Payable Information This series documents an agency's expenditures and purchases. Records may include but are not limited to: departmental purchase orders, contract release orders, balance sheets, bills, invoices, invoice vouchers, journal voucher/entry forms, and related documentation and correspondence.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.7	404918	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				

Retention Codes (Field 7)

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US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4049 SOM / Internal Medicine / Nephrology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.7	404919	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+5	10	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				
4.7	404920	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.2.005	404921	Calibration Records (Equipment or Instrument)	10	0	10					
5.4.008	404922	Hazard Communication Plans	US+5	0	US+5	Texas Health and Safety Code, 502.009(g).				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4049 SOM / Internal Medicine / Nephrology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.4.009	404923	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	404924	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				
	404925	Assistantship / Fellowship / Traineeship Applications / Accepted A record of applicants for grant, contract or state-funded assistantships, fellowships or traineeships who were awarded the position. Records may include but are not limited to: applications, current curriculum vitae, list of references, letter of support, written description of research training background and current research interests, and any related correspondence.	AC+5	0	AC+5	AC = After termination of award if not filed in student record or with the grant.				
	404926	Assistantship / Fellowship / Traineeship Applications / Denied A record of applicants for grant, contract or state-funded assistantships, fellowships or traineeships who were not awarded the position. Records may include but are not limited to: applications, current curriculum vitae, list of references, letter of support, written description of research training background and current research interests, and any related correspondence.	AC+2	0	AC+2	AC = After completion of application process.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4049 SOM / Internal Medicine / Nephrology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	404927	Medical Research / Clinical Trials Not Associated With Grants Research data and documentation gathered or created in the course of a clinical trial in which the University is the primary sponsor. May include case reports, shipping records, research data from investigators, internal research data, study protocols/ designs and amendments, FDA forms, pharmaceutical studies, findings, research papers and serious adverse events reports.	PM	0	PM					
	404928	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+50	0	AC+50	AC = Completion of training.				
	404929	UTMB Sponsored Medical Research / Human (Regulated By FDA) This records series includes UTMB sponsored human related medical research, experiments and data collected. Includes the signed informed consent form and any data safety monitoring reports.	AC+15	0	AC+15	AC = After last contact with subject.				

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Archival Codes (Field 8)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4050 SOM / Internal Medicine / Rheumatology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks	O			
1.1	405001	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	405002	Special Lectures This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on catering arrangements; news releases; recordings and transcripts; photographs; and related documentation and correspondence.	CE+5	0	CE+5	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4050 SOM / Internal Medicine / Rheumatology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	405003	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	0	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 University 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.				
1.1.008	405004	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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Archival Codes (Field 8)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4050 SOM / Internal Medicine / Rheumatology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	405005	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.040	405006	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4050 SOM / Internal Medicine / Rheumatology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	405007	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	405008	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.067	405009	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	O	<p>ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>			

Retention Codes (Field 7)	Archival Codes (Field 8)
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4050 SOM / Internal Medicine / Rheumatology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.3.001	405010	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	405011	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.3.020	405012	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.4.006	405013	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	405014	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

Retention Codes (Field 7)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4050 SOM / Internal Medicine / Rheumatology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.7	405015	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				
4.7	405016	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+5	10	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				
4.7	405017	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4050 SOM / Internal Medicine / Rheumatology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.2.005	405018	Calibration Records (Equipment or Instrument)	10	0	10					
5.4.008	405019	Hazard Communication Plans	US+5	0	US+5	Texas Health and Safety Code, 502.009(g).				
5.4.009	405020	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	405021	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				
	405022	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+50	0	AC+50	AC = Completion of training.				

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Archival Codes (Field 8)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4051 SOM / Internal Medicine / General Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	405101	Special Lectures This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on catering arrangements; news releases; recordings and transcripts; photographs; and related documentation and correspondence.	CE+5	0	CE+5	O				
1.1.007	405102	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	0	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 University 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.			
1.1.008	405103	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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Form SLR 105C must accompany this form

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4051 SOM / Internal Medicine / General Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	405104	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.040	405105	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
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Archival Codes (Field 8)

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O - Review Required Before Disposal



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Form SLR 105C must accompany this form

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4051 SOM / Internal Medicine / General Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	405106	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	405107	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.067	405108	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	O	<p>ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>			
1.1.069	405109	<p>Reports - Activity</p> <p>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.</p>	1	0	1		<p>CAUTION: SEE item number 1.1.064.</p>			

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal
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LA - Life Of Asset MO - Months	



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4051 SOM / Internal Medicine / General Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.3.001	405110	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	405111	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.1	405112	Faculty and Non-teaching Recruitment Records This records series documents the recruitment of faculty and non-teaching positions by the University. Records may include but are not limited to: request to post, position description, recruiting plan (includes search committee list), advertising, interview detail, Approval To Interview Form (pre-interview summary), applicants recommended for interview, CV's for all applicants listed and related correspondence.	FE+2	0	FE+2					
3.3.020	405113	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					

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Archival Codes (Field 8)

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O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4051 SOM / Internal Medicine / General Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.4.006	405114	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	405115	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.7	405116	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+5	10	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4051 SOM / Internal Medicine / General Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.7	405117	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+2	2	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
	405118	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				
	405119	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	AC+7	0	AC+7	AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).				
	405120	Instructors' Grade Records This series documents test scores, class work scores, and final grades for students which may be used as back-up to the official academic records held by the Registrar. Records may include but are not limited to: instructors' grade books, grade confirmation reports, grade confirmation and change records, and final grade rosters.	AC	10	AC+10	AC = after end of academic year. Information may be exempt from public disclosure. Retention is based on department policy.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4051 SOM / Internal Medicine / General Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	405121	Medical Research / Clinical Trials Not Associated With Grants Research data and documentation gathered or created in the course of a clinical trial in which the University is the primary sponsor. May include case reports, shipping records, research data from investigators, internal research data, study protocols/designs and amendments, FDA forms, pharmaceutical studies, findings, research papers and serious adverse events reports.	AV	PM	PM					
	405122	Student Academic Records Records may include but are not be limited to: date of admission, period of attendance, academic work undertaken, academic work successfully completed, honors awarded, diploma, degree, or certificate earned, and appropriate evaluation of work completed for students such as medical, nurses, and other professional type students. Also includes course changes and add/drops.	AC+2	8	AC+10	AC = Graduation or date of last attendance.				
	405123	Test Questions And Examinations Records may include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC+2	0	AC+2	AC = After graduation or date of last attendance.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4056 SOM / Internal Medicine / Infectious Diseases								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	405601	Special Lectures This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on catering arrangements; news releases; recordings and transcripts; photographs; and related documentation and correspondence.	CE+5	0	CE+5	O				
1.1.007	405602	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	0	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 University 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.			
1.1.008	405603	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
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Archival Codes (Field 8)

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O - Review Required Before Disposal



STATE OF TEXAS Records Retention Schedule APPROVED

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4056 SOM / Internal Medicine / Infectious Diseases								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	405604	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.040	405605	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				
1.1.043	405606	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4056 SOM / Internal Medicine / Infectious Diseases								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	405607	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	405608	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4056 SOM / Internal Medicine / Infectious Diseases								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.3.001	405609	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	405610	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.3.020	405611	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.4.006	405612	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	405613	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4056 SOM / Internal Medicine / Infectious Diseases								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.7	405614	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				
4.7	405615	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+5	10	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				
5.2.005	405616	Calibration Records (Equipment or Instrument)	10	0	10					
	405617	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				
	405618	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4056 SOM / Internal Medicine / Infectious Diseases								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	405619	Medical Rotation Records / Residents And Fellows Not Affiliated This records series documents residency physicians or fellows not affiliated with this University, but are accepted to practice medicine under the supervision of a licensed physician at this hospital as part of an elective not offered at their hospital. Records may include but are not limited to: formal request to rotate, CV, criminal background check, drug test, permit to practice medicine, evaluations, and related correspondence.	AC+5	0	AC+5	AC = Completion of course or date of last attendance.				
	405620	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+50	0	AC+50	AC = Completion of training.				
	405621	Program And Course Development Records This records series documents the development, approval, and the implementation of undergraduate, graduate, and professional degree programs and any other reorganizations or changes to established programs. Records may include but are not limited to: working papers, final reports, related course descriptions, outlines, sample examinations, textbook lists, etc.	6	0	6	O				
	405622	UTMB Sponsored Medical Research / Animals This records series includes animal related research, experiments, and data collected.	6	0	6					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4057 SOM / Internal Medicine / Hematology - Oncology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	405701	Special Lectures This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on catering arrangements; news releases; recordings and transcripts; photographs; and related documentation and correspondence.	CE+5	0	CE+5	O				
1.1.007	405702	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	0	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 University 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.			
1.1.008	405703	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4057 SOM / Internal Medicine / Hematology - Oncology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	405704	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.024	405705	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.			
1.1.040	405706	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4057 SOM / Internal Medicine / Hematology - Oncology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.057	405707	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	405708	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
3.3.020	405709	<p>Work Schedules / Assignments</p> <p>Work, duty, shift, crew, or case schedules, rosters, or assignments.</p>	1	0	1					
3.4.006	405710	<p>Time Cards and Time Sheets</p> <p>A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.</p>	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	405711	<p>Time Off and/or Sick Leave Requests</p> <p>This records series may include but not be limited to Leave Request Forms and other supporting documentation.</p>	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4057 SOM / Internal Medicine / Hematology - Oncology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.5.002	405712	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.7	405713	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				
4.7	405714	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+15	0	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4057 SOM / Internal Medicine / Hematology - Oncology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.7	405715	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
	405716	Admissions Records / Denied This series documents the applications process for individuals that have been denied admission to the University or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC+1	0	AC+1	AC = After application term.				
	405717	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+50	0	AC+50	AC = Completion of training.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4058 SOM / Internal Medicine / Housestaff								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	405801	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	405802	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1	405803	Reports And Studies - Special Activity This series documents the activities of a University department. Examples may include the completion of surveys and questionnaires, compilation of special studies for professional or academic associations, and special mailings. This series may include but is not limited to: arrangements documentation; working papers; questionnaires; survey forms; study designs; reports; and related documentation and correspondence.	10	0	10	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention.			
1.1.008	405804	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4058 SOM / Internal Medicine / Housestaff								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	405805	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.057	405806	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4058 SOM / Internal Medicine / Housestaff								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.065	405807	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.			
1.1.067	405808	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
1.1.070	405809	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			
3.3.020	405810	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.4.006	405811	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4		40 TAC 815.106(i).			
3.4.007	405812	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4058 SOM / Internal Medicine / Housestaff								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.1.004	405813	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year. AC = Completion of training. O AC = Graduation or date of last attendance.				
	405814	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+1	49	AC+50					
	405815	Program And Course Development Records This records series documents the development, approval, and the implementation of undergraduate, graduate, and professional degree programs and any other reorganizations or changes to established programs. Records may include but are not limited to: working papers, final reports, related course descriptions, outlines, sample examinations, textbook lists, etc.	6	0	6					
	405816	Student Academic Records Records may include but are not be limited to: date of admission, period of attendance, academic work undertaken, academic work successfully completed, honors awarded, diploma, degree, or certificate earned, and appropriate evaluation of work completed for students such as medical, nurses, and other professional type students. Also includes course changes and add/drops.	AC+3	7	AC+10					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4059 SOM / Internal Medicine / Division Of Allergy And Immunology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	405901	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	405902	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	405903	Special Lectures This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on catering arrangements; news releases; recordings and transcripts; photographs; and related documentation and correspondence.	CE+5	0	CE+5	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4059 SOM / Internal Medicine / Division Of Allergy And Immunology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	405904	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	0	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 University 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.				
1.1.008	405905	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4059 SOM / Internal Medicine / Division Of Allergy And Immunology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	405906	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.040	405907	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4059 SOM / Internal Medicine / Division Of Allergy And Immunology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	405908	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	405909	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
3.3.020	405910	<p>Work Schedules / Assignments</p> <p>Work, duty, shift, crew, or case schedules, rosters, or assignments.</p>	1	0	1					
3.4.006	405911	<p>Time Cards and Time Sheets</p> <p>A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.</p>	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	405912	<p>Time Off and/or Sick Leave Requests</p> <p>This records series may include but not be limited to Leave Request Forms and other supporting documentation.</p>	FE+3	0	FE+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4059 SOM / Internal Medicine / Division Of Allergy And Immunology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.7	405913	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				
4.7	405914	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+5	10	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				
4.7	405915	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4059 SOM / Internal Medicine / Division Of Allergy And Immunology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.2.005	405916	Calibration Records (Equipment or Instrument)	10	0	10					
5.4.009	405917	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	405918	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				
	405919	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+50	0	AC+50	AC = Completion of training.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4060 SOM / Internal Medicine / Cardiology Division								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	406001	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	406002	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.			
1.1.007	406003	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	0	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 University Archives when these records have met their retention periods. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4060 SOM / Internal Medicine / Cardiology Division								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	406004	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	0	2					
1.1.040	406005	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O				
1.1.057	406006	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4060 SOM / Internal Medicine / Cardiology Division								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	406007	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.3.020	406008	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.4.006	406009	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	406010	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.7	406011	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4060 SOM / Internal Medicine / Cardiology Division								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.7	406012	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+2	13	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				
5.1.001	406013	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+6	0	AC+6	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2).				
5.1.004	406014	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
	406015	Honors / Awards / Eligibility And History This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. The series may include but is not limited to: eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases.	PM	0	PM					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4060 SOM / Internal Medicine / Cardiology Division								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
	406016	Honors / Awards / Supporting Documentation Records that document the process of selecting honors and award winners. Records may include but are not limited to: applications, nomination letters, recommendations, letters of award notification or denial, letters accepting or declining awards, vote tallies, transcripts, CV's, essays, course evaluations, ranking sheets, and related documentation and correspondence.	FE+3	0	FE+3					
	406017	Medical Research / Clinical Trials Not Associated With Grants Research data and documentation gathered or created in the course of a clinical trial in which the University is the primary sponsor. May include case reports, shipping records, research data from investigators, internal research data, study protocols/ designs and amendments, FDA forms, pharmaceutical studies, findings, research papers and serious adverse events reports.	AV	PM	PM					
	406018	Medical Rotation Records / Residents And Fellows Not Affiliated This records series documents residency physicians or fellows not affiliated with this University, but are accepted to practice medicine under the supervision of a licensed physician at this hospital as part of an elective not offered at their hospital. Records may include but are not limited to: formal request to rotate, CV, criminal background check, drug test, permit to practice medicine, evaluations, and related correspondence.	AC+5	0	AC+5	AC = Completion of course or date of last attendance.				

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Archival Codes (Field 8)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4060 SOM / Internal Medicine / Cardiology Division								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	406019	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+3	47	AC+50	AC = Completion of training.				
	406020	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE+5	0	FE+5					
	406021	UTMB Sponsored Medical Research / Animals This records series includes animal related research, experiments, and data collected.	6	0	6					
	406022	UTMB Sponsored Medical Research / Human (Regulated By FDA) This records series includes UTMB sponsored human related medical research, experiments and data collected. Includes the signed informed consent form and any data safety monitoring reports.	AC+15	0	AC+15	AC = After last contact with subject.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4062 SOM / Internal Medicine / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	406201	Alumni Records This records series documents the activities of a department's alumni and may also provide alumni offices with information on alumni. Records may be used to: create a network of support from alumni, primarily through organized alumni groups; to track alumni; to monitor their achievements, activities, and recognitions; to create statistics; to reply to information requests; and to provide information on the accomplishments of previous students. This series may include but is not limited to: memberships lists with names, addresses, employer names and addresses, and positions; minutes, and directories; promotional materials concerning annual gatherings; homecoming plans and programs; data cards and files for individual alumni; degree recipient lists; outstanding alumni lists; student leader lists; class officer lists; foreign student rosters; international alumni club records; and notes, memoranda, and related correspondence concerning general alumni affairs.	PM	0	PM					
1.1	406202	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4062 SOM / Internal Medicine / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	406203	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1.007	406204	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	0	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 University 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.			
1.1.008	406205	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4062 SOM / Internal Medicine / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	406206	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.040	406207	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	406208	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
3.1	406209	<p>Ballots for Appointment, Promotion or Tenure</p> <p>A record of ballots cast by faculty members regarding the appointment, promotion or tenure of another faculty member.</p>	AC+1	0	AC+1	AC = After ballots are counted.				
3.1	406210	<p>Faculty and Non-teaching Recruitment Records</p> <p>This records series documents the recruitment of faculty and non-teaching positions by the University. Records may include but are not limited to: request to post, position description, recruiting plan (includes search committee list), advertising, interview detail, Approval To Interview Form (pre-interview summary), applicants recommended for interview, CV's for all applicants listed and related correspondence.</p>	FE+2	0	FE+2					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4062 SOM / Internal Medicine / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.4.006	406211	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+1	3	FE+4	40 TAC 815.106(i).				
3.4.007	406212	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
5.2.010	406213	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				
	406214	Training & License Records / Medical This records series consists of the credentials, licenses, certifications, registrations, and permits for medical staff providing patient care, consulting services, and home health including formal training, on the job education, and continuing educational credits.	AC+7	0	AC+7	AC = After separation or termination of employment.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4063 SOM / Internal Medicine / Endocrinology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	406301	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.			
1.1.007	406302	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	0	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 University 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.			
1.1.008	406303	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4063 SOM / Internal Medicine / Endocrinology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	406304	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.040	406305	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
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US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4063 SOM / Internal Medicine / Endocrinology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	406306	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	406307	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4063 SOM / Internal Medicine / Endocrinology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.001	406308	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	406309	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.1.014	406310	Employment Selection Records May include but not be limited to: 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	0	2	29 CFR 1602.49(a) [State Universities]. CAUTION: Does not include criminal history checks. SEE item number 3.1.026.				
3.4.006	406311	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4063 SOM / Internal Medicine / Endocrinology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
3.4.007	406312	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.7	406313	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+5	10	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				
5.4.009	406314	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	406315	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4064 SOM / Internal Medicine / Geriatrics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	406401	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O				
1.1	406402	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1	406403	Special Lectures This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on catering arrangements; news releases; recordings and transcripts; photographs; and related documentation and correspondence.	CE+5	0	CE+5	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4064 SOM / Internal Medicine / Geriatrics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	406404	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	0	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 University 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.				
1.1.008	406405	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4064 SOM / Internal Medicine / Geriatrics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	406406	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.040	406407	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4064 SOM / Internal Medicine / Geriatrics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	406408	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	406409	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.067	406410	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	O	<p>ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>			
1.1.069	406411	<p>Reports - Activity</p> <p>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.</p>	1	0	1		<p>CAUTION: SEE item number 1.1.064.</p>			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4064 SOM / Internal Medicine / Geriatrics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.3.001	406412	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	406413	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.1	406414	Faculty and Non-teaching Recruitment Records This records series documents the recruitment of faculty and non-teaching positions by the University. Records may include but are not limited to: request to post, position description, recruiting plan (includes search committee list), advertising, interview detail, Approval To Interview Form (pre-interview summary), applicants recommended for interview, CV's for all applicants listed and related correspondence.	FE+2	0	FE+2					
3.3.020	406415	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4064 SOM / Internal Medicine / Geriatrics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.4.006	406416	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	406417	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.1.001	406418	Accounts Payable Information This series documents an agency's expenditures and purchases. Records may include but are not limited to: departmental purchase orders, contract release orders, balance sheets, bills, invoices, invoice vouchers, journal voucher/entry forms, and related documentation and correspondence.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.7	406419	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				

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Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4064 SOM / Internal Medicine / Geriatrics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.7	406420	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+15	0	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				
4.7	406421	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.2.005	406422	Calibration Records (Equipment or Instrument)	10	0	10					
5.4.008	406423	Hazard Communication Plans	US+5	0	US+5	Texas Health and Safety Code, 502.009(g).				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4064 SOM / Internal Medicine / Geriatrics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.4.009	406424	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	406425	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				
	406426	Assistantship / Fellowship / Traineeship Applications / Accepted A record of applicants for grant, contract or state-funded assistantships, fellowships or traineeships who were awarded the position. Records may include but are not limited to: applications, current curriculum vitae, list of references, letter of support, written description of research training background and current research interests, and any related correspondence.	AC+5	0	AC+5	AC = After termination of award if not filed in student record or with the grant.				
	406427	Assistantship / Fellowship / Traineeship Applications / Denied A record of applicants for grant, contract or state-funded assistantships, fellowships or traineeships who were not awarded the position. Records may include but are not limited to: applications, current curriculum vitae, list of references, letter of support, written description of research training background and current research interests, and any related correspondence.	AC+2	0	AC+2	AC = After completion of application process.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4064 SOM / Internal Medicine / Geriatrics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	406428	Medical Research / Clinical Trials Not Associated With Grants Research data and documentation gathered or created in the course of a clinical trial in which the University is the primary sponsor. May include case reports, shipping records, research data from investigators, internal research data, study protocols/ designs and amendments, FDA forms, pharmaceutical studies, findings, research papers and serious adverse events reports.	PM	0	PM					
	406429	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+50	0	AC+50	AC = Completion of training.				
	406430	UTMB Sponsored Medical Research / Human (Regulated By FDA) This records series includes UTMB sponsored human related medical research, experiments and data collected. Includes the signed informed consent form and any data safety monitoring reports.	AC+15	0	AC+15	AC = After last contact with subject.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4065 AS / Academic Resources / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	406501	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.			
1.1	406502	Gift Records Or Donor Files This series documents potential or realized private, corporate, or public agency funding to the institution, including endowments, gifts, donor records and trusts. This series may include but is not limited to: award guidelines; letters and agreements of gifts; amounts of donations received; names of donors; conditions placed on donations; copies of bequest instruments and wills from individuals or estates; gift / pledge transmittal forms; solicitation material; acknowledgement letters; copies of checks or securities documents; financial statements and reports, including records of fund disbursements; and related documentation and correspondence.	PM	0	PM	I	Security is open with restrictions.			
1.1	406503	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			

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			Agency	Storage	Total				9. Remarks	
1.1.040	406507	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O				
1.1.043	406508	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					
1.1.057	406509	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC					

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			Agency	Storage	Total	9. Remarks				
1.1.063	406510	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.067	406511	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
1.1.070	406512	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			
1.2	406513	Library Accession / De-accession Records Records used to update the library catalogs or inventory records of the accession through purchase, gift, or deaccession through loss or withdrawal of library materials.	AV	0	AV					
1.2	406514	Library Acquisitions Records This record series consists of information on the acquisition of library materials including: books, periodicals, filmstrips, software, compact discs, video/ audio tapes, and other non-print media. Records may include the accession date and method, the publisher and cost, the date entered into the collection, dates removed from collection, and method of final disposal.	AC	0	AC		AC = Retain for life of material.			

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			Agency	Storage	Total	9. Remarks				
1.2	406515	Library Catalog This records series identifies and locates the contents of entire library and collections. Documents include the master list of library collection and materials.	US	0	US					
1.2	406516	Library Courtesy Borrowers This records series documents guest borrowers of library materials. Records may include applications forms and the guest borrower's name, address, telephone number, company or institution name, and patron status.	FE+3	0	FE+3					
1.2	406517	Library Permanent Archival Collection Records This series documents the management of objects and materials in permanent collections. Series documents the accession, use, care, maintenance, storage, and disposition of collections; also provides a record of the de-accession of objects no longer in the collection. This records series may include policies and procedures for acquisition and de-accession, records of authenticity, catalogs of lists of accession and/or de-accession, special collection visitor logs, special collections and online exhibits, deeds of gift, donor records, inventory and location records, photographs of objects, collections use records, library shelf lists and related correspondence.	PM	0	PM					
1.2	406518	Library Reference Records This records series documents questions and information sent to librarians to use their expertise to help library patrons choose the right resources for their search.	2	0	2					
1.2	406519	Library Serials Records This records series documents the receipt and payment history for serials purchased by the libraries.	AC	0	AC	AC = After cataloging complete.				

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			Agency	Storage	Total	9. Remarks				
1.2	406520	Library Circulation Records / Borrowing and Use Records documenting the circulation of library materials to individual borrowers or materials borrowed through Interlibrary Loan (ILL).	AC	0	AC	AC = Until library materials returned or transaction completed.				
1.2.013	406521	Records Control Locator Aids Includes indexes, card files, shelf lists, registers, guides, etc.	AC	0	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.				
1.3.001	406522	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	406523	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4065 AS / Academic Resources / Administration								
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			Agency	Storage	Total				9. Remarks	
2.2.016	406524	Software Registrations, Warranties And License Agreements	LA+3	0	LA+3					
4.1	406525	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+7	0	FE+7					
4.1.002	406526	Billing Detail Provides itemized billing record for services rendered.	FE+2	7	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				
4.2.001	406527	Cash Deposit Vouchers Cash deposit slips.	FE+3	0	FE+3					
4.2.002	406528	Cash Receipts Includes receipts for fees (permits, licenses, renewals, etc.)	FE+3	0	FE+3					

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4.5.002	406529	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.7	406530	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				
4.7	406531	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.2.009	406532	Equipment Inventory Detail Report Forms Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE+3	0	FE+3					

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5.2.010	406533	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				
5.2.026	406534	Facilities Reservation Logs Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.	2	0	2					
	406535	Surveillance Video This records series consists of surveillance video tapes created to monitor activities occurring within and outside of institutional buildings.	30 DAYS	0	30 DAYS	CAUTION: If not required to support known investigations or litigation, reuse or destroy in 30 days. The disposal of surveillance video need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010).				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4068 SHP / Clinical Laboratory Sciences								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	406801	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O				
1.1	406802	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O				
1.1	406803	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1	406804	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					

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			Agency	Storage	Total	9. Remarks				
1.1.007	406805	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	0	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 University 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.				
1.1.008	406806	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.038	406807	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3	AC = After completion of survey. SEE item number 1.1.067 for summary reports compiled from customer surveys.				
1.1.040	406808	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	406809	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	406810	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.067	406811	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	O				
3.4.007	406812	<p>Time Off and/or Sick Leave Requests</p> <p>This records series may include but not be limited to Leave Request Forms and other supporting documentation.</p>	FE+3	0	FE+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4068 SHP / Clinical Laboratory Sciences								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total					
4.2.001	406813	Cash Deposit Vouchers Cash deposit slips.	FE+3	0	FE+3					
4.5.002	406814	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.7	406815	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				
4.7	406816	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.2.005	406817	Calibration Records (Equipment or Instrument)	10	0	10					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4068 SHP / Clinical Laboratory Sciences								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.4.007	406818	Hazardous Materials Training Records Records of training given to employees in an agency hazard communications program.	5	0	5	Texas Health and Safety Code, 502.009(g).				
5.4.009	406819	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	406820	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				
	406821	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				
	406822	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	AC+7	0	AC+7	AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).				
	406823	Honors / Awards / Eligibility And History This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. The series may include but is not limited to: eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases.	PM	0	PM					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4068 SHP / Clinical Laboratory Sciences								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	406824	Honors / Awards / Supporting Documentation Records that document the process of selecting honors and award winners. Records may include but are not limited to: applications, nomination letters, recommendations, letters of award notification or denial, letters accepting or declining awards, vote tallies, transcripts, CV's, essays, course evaluations, ranking sheets, and related documentation and correspondence.	FE+3	0	FE+3					
	406825	Student Academic Records Records may include but are not be limited to: date of admission, period of attendance, academic work undertaken, academic work successfully completed, honors awarded, diploma, degree, or certificate earned, and appropriate evaluation of work completed for students such as medical, nurses, and other professional type students. Also includes course changes and add/drops.	AC+10	0	AC+10	AC = Graduation or date of last attendance.				
	406826	Student Research Projects This records series includes all records related to research projects undertaken by students in the course of their education at UTMB. Records may include but are not limited to: applications for research, protocols, research progress, lab notebooks, final reports, evaluations by faculty, IRB or IACUC approval and monitoring, and related correspondence and documentation.	AC+10	0	AC+10	AC = Completion of the project.				
	406827	Test Questions And Examinations Records may include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC+2	0	AC+2	AC = After graduation or date of last attendance.				

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal
CE - Calendar Year End FE - Fiscal Year End	
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4069 Microbiology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
1.1	406901	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1.007	406902	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	0	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 University 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.			
1.1.008	406903	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4069 Microbiology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	406904	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.057	406905	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC		AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4069 Microbiology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.067	406906	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O				
1.3.001	406907	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	AC+2					
1.3.002	406908	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.4.006	406909	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4069 Microbiology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total					
3.4.007	406910	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.1.002	406911	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				
4.7	406912	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+5	10	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				
5.2.005	406913	Calibration Records (Equipment or Instrument)	10	0	10					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4069 Microbiology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.2.010	406914	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				
	406915	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				
	406916	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	AC+7	0	AC+7	AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).				
	406917	Non-Regulated Research Data Research data compiled from primary sources, includes laboratory notes.	AC+7	0	AC+7	AC = After completion of study.				
	406918	Regulated Research Data Research documentation and raw data obtained in the course of a study. May include Investigators' Notebooks for New Drugs (laboratory notes documenting the results of experiments involving new drugs), patient files, case files, and other records of the dates, quantity and use of a new drug on subjects.	AC+15	0	AC+15	AC = After completion of study. 21 CFR § 312.57.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4071 SOM / Psychiatry / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	407101	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1	407102	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1	407103	Special Lectures This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on catering arrangements; news releases; recordings and transcripts; photographs; and related documentation and correspondence.	CE+1	4	CE+5	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4071 SOM / Psychiatry / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	407104	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	0	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 University 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.				
1.1.008	407105	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4071 SOM / Psychiatry / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	407106	Calendars, Appointment Books 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	0	CE+1	O				
1.1.040	407107	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O				
1.1.043	407108	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4071 SOM / Psychiatry / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	407109	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	407110	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.065	407111	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	407112	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

Retention Codes (Field 7)		Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled	CE - Calendar Year End	I - Retain in Archives
AV - Administrative Value	FE - Fiscal Year End	O - Review Required Before Disposal
	LA - Life Of Asset	
	MO - Months	
	PM - Permanent	
	US - Until Superseded	



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4071 SOM / Psychiatry / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.001	407113	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	407114	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.4.006	407115	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+1	3	FE+4	40 TAC 815.106(i).				
3.4.007	407116	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+1	2	FE+3					

Retention Codes (Field 7)

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Archival Codes (Field 8)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4071 SOM / Psychiatry / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.1.002	407117	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				
4.2.005	407118	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.5.002	407119	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4071 SOM / Psychiatry / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.7	407120	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+5	10	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				
4.7	407121	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+2	2	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4071 SOM / Psychiatry / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	407122	Client Psychological And Psychiatric Records This series documents all clients who are provided psychological and psychiatric services. Clinicians provide treatment concerning personal problems, academic concerns, and career concerns. The psychiatric consultant provides psychiatric care. Records may include but are not limited to: testing materials, extensive notes made by providers concerning the assessment, diagnosis, treatment and contacts (written, telephone, or in person) with each client, referral letters, release of information agreements, letters to agencies or others concerning the clients, and related documentation.	AC	7	AC+7	AC = No client contact for 3 months or formal termination of services. For minor patients, keep AC+7 or until age 21, whichever is longer. 22 TAC 465.22(d)2. The Texas State Board Of Examiners Of Psychologists Rules Of Practice.				
	407123	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				
	407124	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	AC+7	0	AC+7	AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).				
	407125	Grade Reports This series documents grades received by students for the term. The series includes but is not limited to: course numbers and titles, grades awarded, grade point average, student name, and social security number.	AC+1	0	AC+1	AC = Date distributed. Information may be exempt from public disclosure.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4071 SOM / Psychiatry / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
	407126	Medical Research / Clinical Trials Not Associated With Grants Research data and documentation gathered or created in the course of a clinical trial in which the University is the primary sponsor. May include case reports, shipping records, research data from investigators, internal research data, study protocols/ designs and amendments, FDA forms, pharmaceutical studies, findings, research papers and serious adverse events reports.	AV	PM	PM					
	407127	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+50	0	AC+50		AC = Completion of training.			
	407128	Program And Course Development Records This records series documents the development, approval, and the implementation of undergraduate, graduate, and professional degree programs and any other reorganizations or changes to established programs. Records may include but are not limited to: working papers, final reports, related course descriptions, outlines, sample examinations, textbook lists, etc.	6	0	6	0				
	407129	Test Questions And Examinations Records may include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC+2	0	AC+2		AC = After graduation or date of last attendance.			

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Archival Codes (Field 8)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4072 SOM / Neurology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	407201	Special Lectures This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on catering arrangements; news releases; recordings and transcripts; photographs; and related documentation and correspondence.	CE+5	0	CE+5	O				
1.1.007	407202	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	0	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 University 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.			
1.1.008	407203	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7)

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Archival Codes (Field 8)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4072 SOM / Neurology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.040	407204	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O				
1.1.057	407205	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC					
1.1.063	407206	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
3.3.020	407207	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4072 SOM / Neurology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.4.006	407208	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	407209	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.7	407210	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+9	6	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4072 SOM / Neurology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.7	407211	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.2.005	407212	Calibration Records (Equipment or Instrument)	10	0	10					
	407213	Client Psychological And Psychiatric Records This series documents all clients who are provided psychological and psychiatric services. Clinicians provide treatment concerning personal problems, academic concerns, and career concerns. The psychiatric consultant provides psychiatric care. Records may include but are not limited to: testing materials, extensive notes made by providers concerning the assessment, diagnosis, treatment and contacts (written, telephone, or in person) with each client, referral letters, release of information agreements, letters to agencies or others concerning the clients, and related documentation.	AC+1	6	AC+7	AC = No client contact for 3 months or formal termination of services. For minor patients, keep AC+7 or until age 21, whichever is longer. 22 TAC 465.22(d)2. The Texas State Board Of Examiners Of Psychologists Rules Of Practice.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4072 SOM / Neurology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	407214	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	AC+7	0	AC+7	AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).				
	407215	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+50	0	AC+50	AC = Completion of training.				
	407216	Student Academic Records Records may include but are not be limited to: date of admission, period of attendance, academic work undertaken, academic work successfully completed, honors awarded, diploma, degree, or certificate earned, and appropriate evaluation of work completed for students such as medical, nurses, and other professional type students. Also includes course changes and add/drops.	AC+1	9	AC+10	AC = Graduation or date of last attendance.				
	407217	Test Questions And Examinations Records may include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC+2	0	AC+2	AC = After graduation or date of last attendance.				
	407218	UTMB Sponsored Medical Research / Animals This records series includes animal related research, experiments, and data collected.	6	0	6					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4072 SOM / Neurology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	407219	UTMB Sponsored Medical Research / Human (Regulated By FDA) This records series includes UTMB sponsored human related medical research, experiments and data collected. Includes the signed informed consent form and any data safety monitoring reports.	AC+15	0	AC+15	AC = After last contact with subject.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4073 OB/GYN / Revenue And Audit								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.002	407301	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	0	AC+7	AC = Publication or release of final audit findings. The record copy of any audit performed by the State Auditor's Office is retained permanently by UTMB's Internal Audit Services Consulting And Investigation.				
1.1.007	407302	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	0	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 University 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.				
1.1.008	407303	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4073 OB/GYN / Revenue And Audit								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	407304	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	407305	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4075 OB/GYN / Research								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	407501	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	0	2					
1.1.013	407502	Calendars, Appointment Books 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	0	CE+1	O				
1.1.040	407503	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4075 OB/GYN / Research								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	407504	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.067	407505	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4075 OB/GYN / Research								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.1.001	407506	Accounts Payable Information This series documents an agency's expenditures and purchases. Records may include but are not limited to: departmental purchase orders, contract release orders, balance sheets, bills, invoices, invoice vouchers, journal voucher/entry forms, and related documentation and correspondence.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.7	407507	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				
4.7	407508	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+5	10	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4075 OB/GYN / Research								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.7	407509	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.2.010	407510	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4076 OB/GYN / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	407601	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	0	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 University 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.				
1.1.008	407602	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4076 OB/GYN / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	407603	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	407604	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4076 OB/GYN / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.067	407605	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
1.1.070	407606	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			
1.3.001	407607	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	AC+2	O	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).			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4076 OB/GYN / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.002	407608	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.3.023	407609	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	0	FE+3					
4.1.001	407610	Accounts Payable Information This series documents an agency's expenditures and purchases. Records may include but are not limited to: departmental purchase orders, contract release orders, balance sheets, bills, invoices, invoice vouchers, journal voucher/entry forms, and related documentation and correspondence.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.5.002	407611	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.6.002	407612	Reconciliations	FE+3	0	FE+3					
4.7	407613	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4077 OB/GYN / Residency Education								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	407701	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	407702	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.			
1.1	407703	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1.008	407704	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4077 OB/GYN / Residency Education								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.043	407705	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					
1.1.057	407706	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.065	407707	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4077 OB/GYN / Residency Education								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.070	407708	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			
3.1.014	407709	Employment Selection Records May include but not be limited to: 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.	4	0	4		29 CFR 1602.49(a) [State Universities]. CAUTION: Does not include criminal history checks. SEE item number 3.1.026. Retention is based on department policy.			
3.3.020	407710	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	15	0	15		Retention is based on department policy.			
	407711	Honors / Awards / Eligibility And History This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. The series may include but is not limited to: eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases.	PM	0	PM					

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4077 OB/GYN / Residency Education								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	407712	Honors / Awards / Supporting Documentation Records that document the process of selecting honors and award winners. Records may include but are not limited to: applications, nomination letters, recommendations, letters of award notification or denial, letters accepting or declining awards, vote tallies, transcripts, CV's, essays, course evaluations, ranking sheets, and related documentation and correspondence.	FE+3	0	FE+3					
	407713	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+50	0	AC+50	AC = Completion of training.				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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Form SLR 105C must accompany this form

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4089 OB/GYN / Maternal Fetal Medicine / Ultrasound								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	408901	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1.008	408902	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			
1.1.057	408903	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC		AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4089 OB/GYN / Maternal Fetal Medicine / Ultrasound								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.063	408904	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
3.3.020	408905	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
4.7	408906	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+5	10	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
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Archival Codes (Field 8)

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Form SLR 105C must accompany this form

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4089 OB/GYN / Maternal Fetal Medicine / Ultrasound								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.7	408907	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+1	3	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.1.014	408908	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	0	US+1					
	408909	Laboratory Test Requests This records series consists of all requisitions authorizing a laboratory to perform tests on a sample. This series may include but is not limited to: the patient's name or identification number, the name or identifier of who ordered the test, the date and time of the specimen collection, the source of the specimen, the patient's gender and age or date of birth, physician's signature, and pertinent clinical information. Test results received from external reference labs may be included.	7	0	7					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4089 OB/GYN / Maternal Fetal Medicine / Ultrasound								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	408910	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE	5	FE+5					

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STATE OF TEXAS

Records Retention Schedule

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1. Page 1039 of 1402

2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4091 Health Systems / Regional Maternal And Child Health Program

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number
			Agency	Storage	Total				
1.1	409101	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.		
1.1.006	409102	Complaint Records Complaints received by the agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+2	0	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 (litigation files).		
1.1.007	409103	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	0	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 University Archives when these records have met their retention periods. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.		

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4091 Health Systems / Regional Maternal And Child Health Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	409104	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	0	2					
1.1.013	409105	Calendars, Appointment Books 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	0	CE+1	O				
1.1.023	409106	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I				
1.1.024	409107	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4091 Health Systems / Regional Maternal And Child Health Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.038	409108	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.				
1.1.040	409109	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				
1.1.043	409110	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4091 Health Systems / Regional Maternal And Child Health Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	409111	<p>Transitory Information</p> <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; 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	0	AC	AC = Purpose of record has been fulfilled.				
1.1.063	409112	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.067	409113	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4091 Health Systems / Regional Maternal And Child Health Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	409114	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
1.3.001	409115	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	409116	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.3.020	409117	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4091 Health Systems / Regional Maternal And Child Health Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.3.027	409118	Aptitude and Skills Tests Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US+2	0	US+2	29 CFR 1602.49 (State Universities). CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.				
3.3.028	409119	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	0	2	29 CFR 1602.49 (State Universities).				
4.1	409120	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+7	0	FE+7					
4.1.002	409121	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4091 Health Systems / Regional Maternal And Child Health Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.2.007	409122	Expenditure Vouchers Travel, Payroll, etc.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.5.002	409123	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.7	409124	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4091 Health Systems / Regional Maternal And Child Health Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.7	409125	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.1	409126	Housing / Tenant Records This series provides a record of occupancy in all institution administered housing. This series may include but is not limited to: reservation/housing agreements, tenant rent and deposit receipts, tenant discrepancy memos, rent delinquent notices, vacating notices; and related documentation and correspondence.	AC+4	0	AC+4	AC = After expiration of contract.				
5.1.004	409127	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.2.005	409128	Calibration Records (Equipment or Instrument)	10	0	10					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4091 Health Systems / Regional Maternal And Child Health Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.2.010	409129	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				
5.2.018	409130	Quality Control Reports	2	0	2					
5.4.008	409131	Hazard Communication Plans	US+5	0	US+5	Texas Health and Safety Code, 502.009(g).				
5.4.009	409132	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	409133	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				
	409134	Immunization Record And Consent Forms Signed consent forms and records noting the type of immunization performed which are not included in the patient's medical record.	AC	0	AC	AC = 21st birthday or 10 years following end of calendar year in which the consent form was signed, whichever is later.				
	409135	Laboratory Case Log The records series consists of a log of specimens received daily from patients which records the accession number, name of patient, requesting doctor, collection date, patient type, birth date, patient number.	2	0	2					

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Archival Codes (Field 8)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4091 Health Systems / Regional Maternal And Child Health Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	409136	Licensure Records / Texas State Board of Pharmacy License This series documents the professional and regulatory issuance of credentials to facilities providing pharmaceutical services at the University. This series may include but is not limited to: license applications, Pharmacy Board Retail Drug Outlet/Controlled Substance Registration (license) and inspection reports, Drug Enforcement Administration (license), Department of Public Safety (license), and related correspondence.	US+2	0	US+2	22 TAC § 291.75.				
	409137	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3	42 CFR 493.1105.				
	409138	Pharmacy Prescription Dispensation Records This series is used to provide an individual, daily summary, and annual summary record of initial drug dispensation and refills administered by the department as required by the Texas State Pharmacy Board. This series may include but is not limited to: prescription slips, in-house computer-generated Rx registers, controlled substance reports, and database purge reports.	3	0	3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4093 SHP / Occupational Therapy								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	409301	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1.007	409302	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	0	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 University 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.			
1.1.008	409303	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4093 SHP / Occupational Therapy								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	409304	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	409305	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.065	409306	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	409307	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4093 SHP / Occupational Therapy								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.4.006	409308	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	409309	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.7	409310	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+15	0	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				
	409311	Admissions Records / Accepted This series documents the application process for individuals seeking admission to the institution or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC+5	0	AC+5	AC = Graduation or date of last attendance.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4093 SHP / Occupational Therapy								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	409312	Admissions Records / Denied This series documents the applications process for individuals that have been denied admission to the University or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC+1	0	AC+1	AC = After application term.				
	409313	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				
	409314	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	AC+7	0	AC+7	AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).				
	409315	Grade Reports This series documents grades received by students for the term. The series includes but is not limited to: course numbers and titles, grades awarded, grade point average, student name, and social security number.	AC+1	0	AC+1	AC = Date distributed. Information may be exempt from public disclosure.				
	409316	Medical Research / Clinical Trials Not Associated With Grants Research data and documentation gathered or created in the course of a clinical trial in which the University is the primary sponsor. May include case reports, shipping records, research data from investigators, internal research data, study protocols/ designs and amendments, FDA forms, pharmaceutical studies, findings, research papers and serious adverse events reports.	PM	0	PM					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4093 SHP / Occupational Therapy								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	409317	Placement Survey Records This series documents the results of a placement survey conducted every two years of recent baccalaureate graduates. Records may include but are not limited to: reports and questionnaires which provide the following information on individual alumni: career status or job title; continuing education; geographic location; source of finding employment; relationship of employment to major; salary; computer training needs; and number of years enrolled.	PM	0	PM					
	409318	Program And Course Development Records This records series documents the development, approval, and the implementation of undergraduate, graduate, and professional degree programs and any other reorganizations or changes to established programs. Records may include but are not limited to: working papers, final reports, related course descriptions, outlines, sample examinations, textbook lists, etc.	6	0	6	O				
	409319	Student Academic Records Records may include but are not be limited to: date of admission, period of attendance, academic work undertaken, academic work successfully completed, honors awarded, diploma, degree, or certificate earned, and appropriate evaluation of work completed for students such as medical, nurses, and other professional type students. Also includes course changes and add/drops.	AC+10	0	AC+10		AC = Graduation or date of last attendance.			
	409320	Test Questions And Examinations Records may include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC+2	0	AC+2		AC = After graduation or date of last attendance.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4094 SOM / Ophthalmology And Visual Sciences								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	409401	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	0	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 University 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.				
1.1.008	409402	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4094 SOM / Ophthalmology And Visual Sciences								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	409403	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	409404	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4094 SOM / Ophthalmology And Visual Sciences								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.063	409405	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.070	409406	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.4.007	409407	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE	3	FE+3					
4.7	409408	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+5	10	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				
5.1.004	409409	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4094 SOM / Ophthalmology And Visual Sciences								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total					
5.2.010	409410	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				
	409411	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE	5	FE+5					
	409412	Test Questions And Examinations Records may include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC+2	0	AC+2				AC = After graduation or date of last attendance.	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4095 Center For Audiology And Speech Pathology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	409501	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1	409502	Special Lectures This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on catering arrangements; news releases; recordings and transcripts; photographs; and related documentation and correspondence.	CE+5	0	CE+5	O				
1.1.002	409503	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	0	AC+7		AC = Publication or release of final audit findings. The record copy of any audit performed by the State Auditor's Office is retained permanently by UTMB's Internal Audit Services Consulting And Investigation.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4095 Center For Audiology And Speech Pathology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	409504	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	0	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 University 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.				
1.1.008	409505	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4095 Center For Audiology And Speech Pathology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	409506	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.040	409507	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4095 Center For Audiology And Speech Pathology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	409508	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	409509	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.067	409510	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	O	<p>ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>			

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal
CE - Calendar Year End FE - Fiscal Year End	PM - Permanent US - Until Superseded
LA - Life Of Asset MO - Months	



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4095 Center For Audiology And Speech Pathology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.001	409511	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	409512	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
2.1.007	409513	Software Programs Automated software applications and operating system files including job control language, program listing/source code, etc.	AC	0	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.				
3.1.023	409514	Position/Job Descriptions Job descriptions, including all associated task or skill statements, for positions in an agency.	AC+4	0	AC+4	AC = Until superseded or job eliminated. 40 TAC 815.106(i).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4095 Center For Audiology And Speech Pathology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.2.003	409515	Daily Cash Receipts Logs	FE+3	0	FE+3					
4.5.002	409516	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
5.1.001	409517	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+6	0	AC+6	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2).				
5.1.012	409518	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	0	US+3					
5.2.005	409519	Calibration Records (Equipment or Instrument)	10	0	10					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4095 Center For Audiology And Speech Pathology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	409520	Medical Rotation Records / Residents And Fellows Not Affiliated This records series documents residency physicians or fellows not affiliated with this University, but are accepted to practice medicine under the supervision of a licensed physician at this hospital as part of an elective not offered at their hospital. Records may include but are not limited to: formal request to rotate, CV, criminal background check, drug test, permit to practice medicine, evaluations, and related correspondence.	AC+5	0	AC+5	AC = Completion of course or date of last attendance.				
	409521	Patient Billing Provides itemized billing record for medical services rendered. Records may include but are not limited to: patient demographic information; electronic billing reports; copies of all monthly aged trail balance reports; physical logs detailing patient or insurance payments; copies of checks, ledgers, or any other information that details specific payments; insurance vouchers from Medicare, Medicaid, or any other entity with which the hospital has specific contracts; any contact from patients disputing any portion of their hospital bills for which the billing department has kept the original document, related correspondence.	10	0	10	42 CFR 422.504(d).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4095 Center For Audiology And Speech Pathology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	409522	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE+5	0	FE+5					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4099 SOM / Pathology								
723										
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	409901	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	409902	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1	409903	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1	409904	Subpoenas Legal document requiring recipient to appear in court to testify, or to produce records to be used in litigation.	FE+1	2	FE+3		Some information may be exempt from public disclosure.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4099 SOM / Pathology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
1.1.007	409905	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.	1	3	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 University 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.			
1.1.008	409906	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4099 SOM / Pathology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
1.1.013	409907	Calendars, Appointment Books 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	0	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 University 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>			
1.1.040	409908	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	<p>AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents).</p> <p>Departments below senior leadership: Until superseded or no longer needed for reference.</p>			

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4099 SOM / Pathology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	409909	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	409910	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.065	409911	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	409912	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	1	2	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4099 SOM / Pathology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.070	409913	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			
1.3.002	409914	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.4.006	409915	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+1	3	FE+4		40 TAC 815.106(i).			
3.4.007	409916	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE	3	FE+3					
4.1.002	409917	Billing Detail Provides itemized billing record for services rendered.	FE+1	8	FE+9		UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.			

Retention Codes (Field 7)		Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled	CE - Calendar Year End	I - Retain in Archives
AV - Administrative Value	FE - Fiscal Year End	O - Review Required Before Disposal
	LA - Life Of Asset	
	MO - Months	
	PM - Permanent	
	US - Until Superseded	



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4099 SOM / Pathology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.5.006	409918	Annual Operating Budgets Required by the General Appropriations Act.	FE+1	2	FE+3					
4.7	409919	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+15	0	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				
4.7	409920	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+2	2	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4099 SOM / Pathology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	409927	Honors / Awards / Eligibility And History This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. The series may include but is not limited to: eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases.	PM	0	PM					
	409928	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+50	0	AC+50	AC = Completion of training.				
	409929	UTMB Sponsored Medical Research / Animals This records series includes animal related research, experiments, and data collected.	6	0	6					
	409930	UTMB Sponsored Medical Research / Human (Regulated By FDA) This records series includes UTMB sponsored human related medical research, experiments and data collected. Includes the signed informed consent form and any data safety monitoring reports.	AC+15	0	AC+15	AC = After last contact with subject.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4102 SOM / Pediatric Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	410201	Endowment Fund Reports Annual report of funds received and expended by endowment accounts to a University department.	AC+6	0	AC+6	O				
1.1	410202	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1	410203	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1.007	410204	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	0	4	O				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4102 SOM / Pediatric Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	410205	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	0	2					
1.1.013	410206	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.023	410207	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.				

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal
CE - Calendar Year End FE - Fiscal Year End	PM - Permanent US - Until Superseded
LA - Life Of Asset MO - Months	



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Form SLR 105C must accompany this form

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4102 SOM / Pediatric Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	410208	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	410209	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.070	410210	<p>Agency Rules, Policies, and Procedures - Final</p> <p>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.</p>	AC+3	0	AC+3	<p>O AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4102 SOM / Pediatric Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.3.001	410211	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	410212	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.3.020	410213	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.3.030	410214	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	0	US+2	CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4102 SOM / Pediatric Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.4.006	410215	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+1	3	FE+4	40 TAC 815.106(i). AC = After notification. Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
3.4.007	410216	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+1	2	FE+3					
4.2.001	410217	Cash Deposit Vouchers Cash deposit slips.	FE+3	0	FE+3					
4.5.006	410218	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3					
4.7	410219	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2					
5.1.004	410220	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	0	US					

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
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MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4102 SOM / Pediatric Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	410221	Client Psychological And Psychiatric Records This series documents all clients who are provided psychological and psychiatric services. Clinicians provide treatment concerning personal problems, academic concerns, and career concerns. The psychiatric consultant provides psychiatric care. Records may include but are not limited to: testing materials, extensive notes made by providers concerning the assessment, diagnosis, treatment and contacts (written, telephone, or in person) with each client, referral letters, release of information agreements, letters to agencies or others concerning the clients, and related documentation.	AC+7	0	AC+7	AC = No client contact for 3 months or formal termination of services. For minor patients, keep AC+7 or until age 21, whichever is longer. 22 TAC 465.22(d)2. The Texas State Board Of Examiners Of Psychologists Rules Of Practice.				
	410222	Immunization Record And Consent Forms Signed consent forms and records noting the type of immunization performed which are not included in the patient's medical record.	AC	0	AC	AC = 21st birthday or 10 years following end of calendar year in which the consent form was signed, whichever is later.				
	410223	UTMB Sponsored Medical Research / Human (Regulated By FDA) This records series includes UTMB sponsored human related medical research, experiments and data collected. Includes the signed informed consent form and any data safety monitoring reports.	AC	15	AC+15	AC = After last contact with subject.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4103 Pediatric Immunology / Allergy								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	410301	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+1	2	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1.007	410302	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	0	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 University 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.			
1.1.008	410303	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4103 Pediatric Immunology / Allergy								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	410304	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	410305	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4103 Pediatric Immunology / Allergy								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.063	410306	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.3.001	410307	State Publications One copy of each state publication as defined on page xi of the introduction 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+1	1	AC+2					
1.3.002	410308	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.4.006	410309	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4		40 TAC 815.106(i).			
3.4.007	410310	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4103 Pediatric Immunology / Allergy								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.2.005	410311	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+1	8	FE+9	<p>UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.</p> <p>Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.</p> <p>Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.</p> <p>AC = After expiration.</p> <p>Texas Health and Safety Code, 502.009(g).</p>				
4.6.002	410312	Reconciliations	FE+3	0	FE+3					
5.1.004	410313	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	0	US					
5.2.010	410314	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA					
5.2.011	410315	Equipment Warranties	AC+1	0	AC+1					
5.4.007	410316	Hazardous Materials Training Records Records of training given to employees in an agency hazard communications program.	5	0	5					

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
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LA - Life Of Asset
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Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4103 Pediatric Immunology / Allergy								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.4.009	410317	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	410318	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				
	410319	Laboratory Test Requests <small>This records series consists of all requisitions authorizing a laboratory to perform tests on a sample. This series may include but is not limited to: the patient's name or identification number, the name or identifier of who ordered the test, the date and time of the specimen collection, the source of the specimen, the patient's gender and age or date of birth, physician's signature, and pertinent clinical information. Test results received from external reference labs may be included.</small>	1	6	7					
	410320	Medical Application Process - Medicaid <small>This records series documents the requirements of the Texas Department of State Health Services and may include but not limited to: Texas Vaccines for Children (TVFC) Patient Eligibility Screening Record, Emergency Medicaid coverage forms, Case Information Release forms, and Medical Release Physicians' statements.</small>	FE+5	0	FE+5					
	410321	Medical Logs <small>Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.</small>	3	0	3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4103 Pediatric Immunology / Allergy								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	410322	Research Protocol / Animals This records series includes animal protocols for research studies that are submitted for committee approval.	AC+1	2	AC+3	AC = Duration of the study. This records series contains confidential information pertaining to the use of animals in medical research. 9 CFR §2.36.				
	410323	Research Protocols / Human This records series includes human protocols for research studies that are submitted for committee approval.	AC+1	9	AC+10	AC = Duration of the study. This records series contains confidential information pertaining to the use of humans in medical research.				
	410324	Training & License Records / Medical This records series consists of the credentials, licenses, certifications, registrations, and permits for medical staff providing patient care, consulting services, and home health including formal training, on the job education, and continuing educational credits.	AC+7	0	AC+7	AC = After separation or termination of employment.				
	410325	UTMB Sponsored Medical Research / Animals This records series includes animal related research, experiments, and data collected.	1	5	6					
	410326	UTMB Sponsored Medical Research / Human (Regulated By FDA) This records series includes UTMB sponsored human related medical research, experiments and data collected. Includes the signed informed consent form and any data safety monitoring reports.	AC+1	14	AC+15	AC = After last contact with subject.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4104 Revenue Cycle Integrity / Women's and Children's Service / Billing								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	410401	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	0	2					
1.1.013	410402	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded		Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4104 Revenue Cycle Integrity / Women's and Children's Service / Billing								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	410403	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	410404	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
2.2.013	410405	<p>Quality Assurance Records</p> <p>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.</p>	AC	0	AC	<p>AC = No longer needed as an audit trail for any records modified.</p>				
3.4.006	410406	<p>Time Cards and Time Sheets</p> <p>A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.</p>	FE+4	0	FE+4	<p>40 TAC 815.106(i).</p>				

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal
CE - Calendar Year End FE - Fiscal Year End	PM - Permanent US - Until Superseded
LA - Life Of Asset MO - Months	



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4104 Revenue Cycle Integrity / Women's and Children's Service / Billing								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.4.007	410407	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
	410408	Patient Billing Provides itemized billing record for medical services rendered. Records may include but are not limited to: patient demographic information; electronic billing reports; copies of all monthly aged trail balance reports; physical logs detailing patient or insurance payments; copies of checks, ledgers, or any other information that details specific payments; insurance vouchers from Medicare, Medicaid, or any other entity with which the hospital has specific contracts; any contact from patients disputing any portion of their hospital bills for which the billing department has kept the original document, related correspondence.	1	9	10	42 CFR 422.504(d).				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4106 Pediatric Vaccinology

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number
			Agency	Storage	Total			
1.1	410601	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.		
1.1	410602	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV			
1.1.007	410603	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	0	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 University 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.		

Retention Codes (Field 7)		Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled	CE - Calendar Year End	I - Retain in Archives
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	LA - Life Of Asset	
	MO - Months	
	PM - Permanent	
	US - Until Superseded	



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4106 Pediatric Vaccinology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	410604	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	0	2					
1.1.013	410605	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.040	410606	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4106 Pediatric Vaccinology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	410611	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
1.3.001	410612	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	410613	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.4.006	410614	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4106 Pediatric Vaccinology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
3.4.007	410615	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.6.002	410616	Reconciliations	FE+3	0	FE+3					
4.7	410617	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				
4.7	410618	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.1.004	410619	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4106 Pediatric Vaccinology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.4	410620	Chemical and Hazardous Waste Disposal Records This series documents the receipt, shipment, and disposal of chemical material or hazardous wastes on campus. This series includes but is not limited to: chemical and waste inspection forms; drum packing sheets; Uniform Hazardous Waste Manifest forms (EPA 8700); Certificates of Disposal from vendors; land disposal notification forms; waste disposal records; and related documentation and correspondence.	PM	0	PM					
5.4.007	410621	Hazardous Materials Training Records Records of training given to employees in an agency hazard communications program.	5	0	5	Texas Health and Safety Code, 502.009(g).				
5.4.009	410622	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	410623	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				
	410624	Medical Research / Clinical Trials Not Associated With Grants Research data and documentation gathered or created in the course of a clinical trial in which the University is the primary sponsor. May include case reports, shipping records, research data from investigators, internal research data, study protocols/ designs and amendments, FDA forms, pharmaceutical studies, findings, research papers and serious adverse events reports.	PM	0	PM					
	410625	UTMB Sponsored Medical Research / Animals This records series includes animal related research, experiments, and data collected.	6	0	6					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4107 SOM / Pediatric Cardiology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	410701	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	410702	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1.007	410703	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	0	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 University 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.			

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	I - Retain in Archives O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4107 SOM / Pediatric Cardiology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	410704	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	0	2					
1.1.013	410705	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.040	410706	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4107 SOM / Pediatric Cardiology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	410707	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
3.4.006	410708	<p>Time Cards and Time Sheets</p> <p>A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.</p>	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	410709	<p>Time Off and/or Sick Leave Requests</p> <p>This records series may include but not be limited to Leave Request Forms and other supporting documentation.</p>	FE+3	0	FE+3					
4.5.002	410710	<p>Internal Fiscal Management Reports</p> <p>Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.</p>	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4107 SOM / Pediatric Cardiology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.1.004	410711	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.1.014	410712	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	0	US+1					
	410713	Licensed And Resident Physician Evaluations Provides an evaluative record of licensed and resident physicians. Evaluations are completed by attending physicians, peer physicians, supervising physicians, residents, or medical students. Includes evaluative comments regarding clinical knowledge, skills, interpersonal relationships, and personal/professional characteristics.	FE+2	0	FE+2					
	410714	Training & License Records / Medical This records series consists of the credentials, licenses, certifications, registrations, and permits for medical staff providing patient care, consulting services, and home health including formal training, on the job education, and continuing educational credits.	AC+7	0	AC+7		AC = After separation or termination of employment.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4108 SOM / Pediatric Endocrinology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	410801	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	410802	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1.007	410803	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	0	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 University Archives when these records have met their retention periods. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4108 SOM / Pediatric Endocrinology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	410804	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	0	2					
1.1.013	410805	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.040	410806	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4108 SOM / Pediatric Endocrinology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.057	410807	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	410808	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
3.4.006	410809	<p>Time Cards and Time Sheets</p> <p>A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.</p>	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	410810	<p>Time Off and/or Sick Leave Requests</p> <p>This records series may include but not be limited to Leave Request Forms and other supporting documentation.</p>	FE+3	0	FE+3					

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End	I - Retain in Archives O - Review Required Before Disposal LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded



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Form SLR 105C must accompany this form

1. Page 1103 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4108 SOM / Pediatric Endocrinology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.5.002	410811	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.7	410812	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+2	13	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				
5.1.004	410813	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.1.014	410814	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	0	US+1					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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Form SLR 105C must accompany this form

1. Page 1105 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4110 SOM / Pediatric Hematology / Oncology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	411001	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	411002	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1.007	411003	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	0	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 University 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.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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1. Page 1106 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4110 SOM / Pediatric Hematology / Oncology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	411004	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	0	2					
1.1.013	411005	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.040	411006	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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1. Page 1107 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4110 SOM / Pediatric Hematology / Oncology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	411007	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	411008	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
3.3.020	411009	<p>Work Schedules / Assignments</p> <p>Work, duty, shift, crew, or case schedules, rosters, or assignments.</p>	1	0	1					
3.4.006	411010	<p>Time Cards and Time Sheets</p> <p>A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.</p>	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	411011	<p>Time Off and/or Sick Leave Requests</p> <p>This records series may include but not be limited to Leave Request Forms and other supporting documentation.</p>	FE+3	0	FE+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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1. Page 1108 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4110 SOM / Pediatric Hematology / Oncology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.5.002	411012	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.7	411013	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+5	10	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				
5.1.004	411014	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.1.014	411015	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	0	US+1					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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Form SLR 105C must accompany this form

1. Page 1110 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4111 SOM / Pediatric Nephrology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	411101	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	411102	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1.007	411103	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	0	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 University 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.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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Form SLR 105C must accompany this form

1. Page 1111 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4111 SOM / Pediatric Nephrology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.008	411104	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			
1.1.013	411105	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.040	411106	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			
1.1.043	411107	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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Form SLR 105C must accompany this form

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4111 SOM / Pediatric Nephrology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	411108	<p>Transitory Information</p> <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; 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	0	AC	AC = Purpose of record has been fulfilled.				
1.1.067	411109	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				
3.3.020	411110	<p>Work Schedules / Assignments</p> <p>Work, duty, shift, crew, or case schedules, rosters, or assignments.</p>	1	0	1					
3.4.006	411111	<p>Time Cards and Time Sheets</p> <p>A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.</p>	FE+4	0	FE+4	40 TAC 815.106(i).				

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal
CE - Calendar Year End FE - Fiscal Year End	PM - Permanent US - Until Superseded
LA - Life Of Asset MO - Months	



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1. Page 1113 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4111 SOM / Pediatric Nephrology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.4.007	411112	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.5.002	411113	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
5.1.004	411114	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.1.014	411115	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	0	US+1					
	411116	Training & License Records / Medical This records series consists of the credentials, licenses, certifications, registrations, and permits for medical staff providing patient care, consulting services, and home health including formal training, on the job education, and continuing educational credits.	AC+7	0	AC+7	AC = After separation or termination of employment.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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1. Page 1114 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4113 SOM / Pediatric Neonatology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	411301	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	0	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 University 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.				
1.1.008	411302	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4113 SOM / Pediatric Neonatology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	411303	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.057	411304	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC		AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded		Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4113 SOM / Pediatric Neonatology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
1.1.063	411305	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.065	411306	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.			
1.1.067	411307	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
1.1.070	411308	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			
3.3.020	411309	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.4.007	411310	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4114 SOM / Pediatric Genetics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	411401	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1.008	411402	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			
1.1.013	411403	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.040	411404	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4114 SOM / Pediatric Genetics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	411405	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.3.001	411406	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4114 SOM / Pediatric Genetics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.002	411407	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.4.006	411408	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4		40 TAC 815.106(i).			
3.4.007	411409	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.7	411410	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2		AC = After notification.			
5.2.010	411411	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA		Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.			

Retention Codes (Field 7)

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Archival Codes (Field 8)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4114 SOM / Pediatric Genetics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
	411412	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					
	411413	Medical Research / Clinical Trials Not Associated With Grants Research data and documentation gathered or created in the course of a clinical trial in which the University is the primary sponsor. May include case reports, shipping records, research data from investigators, internal research data, study protocols/ designs and amendments, FDA forms, pharmaceutical studies, findings, research papers and serious adverse events reports.	PM	0	PM					
	411414	Research Protocol / Animals This records series includes animal protocols for research studies that are submitted for committee approval.	AC+3	0	AC+3	AC = Duration of the study. This records series contains confidential information pertaining to the use of animals in medical research. 9 CFR §2.36.				
	411415	Resident Physician Evaluation -- Raw Data Comprised of questionnaires used to provide an evaluative record of resident physicians. Evaluation forms are summarized and merged into Departmental Resident Files.	AC+5	0	AC+5	AC = After resident has graduated or until any dispute involving the resident has been resolved, whichever occurs later.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4114 SOM / Pediatric Genetics								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	411416	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE+1	4	FE+5					
	411417	Training & License Records / Medical This records series consists of the credentials, licenses, certifications, registrations, and permits for medical staff providing patient care, consulting services, and home health including formal training, on the job education, and continuing educational credits.	AC+7	0	AC+7	AC = After separation or termination of employment.				
	411418	UTMB Sponsored Medical Research / Human (Regulated By FDA) This records series includes UTMB sponsored human related medical research, experiments and data collected. Includes the signed informed consent form and any data safety monitoring reports.	AC+2	48	AC+50	AC = After last contact with subject. Retention is based on department policy. Astronaut records that may have archival value to NASA.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4115 SOM / Pediatric Critical Care Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	411501	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	0	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 University 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.				
1.1.008	411502	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4115 SOM / Pediatric Critical Care Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	411503	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	411504	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4115 SOM / Pediatric Critical Care Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	411505	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.3.020	411506	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.4.006	411507	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	411508	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
5.1.014	411509	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	0	US+1					
5.3.008	411510	Purchasing Logs Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE+3	0	FE+3					

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MO - Months

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US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4116 SOM / Pediatrics / Division of Adolescent And Behavioral Health								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	411601	Films, Videotapes, and Sound Recordings This series provides visual and/or aural documentation of institutional activities and events including students, faculty, and staff with significant relevance to either the institution's or individual unit's function and mission.	AV	0	AV	O				
1.1	411602	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1.008	411603	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			
1.1.013	411604	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4116 SOM / Pediatrics / Division of Adolescent And Behavioral Health								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.040	411605	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				
1.1.057	411606	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	411607	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					

Retention Codes (Field 7)

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Archival Codes (Field 8)

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O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4116 SOM / Pediatrics / Division of Adolescent And Behavioral Health								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.067	411608	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	1	2	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				
1.1.070	411609	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
1.3.001	411610	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4116 SOM / Pediatrics / Division of Adolescent And Behavioral Health								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.3.023	411611	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	0	FE+3					
3.4.006	411612	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	411613	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.2.002	411614	Cash Receipts Includes receipts for fees (permits, licenses, renewals, etc.)	FE+3	0	FE+3					
4.6.002	411615	Reconciliations	FE+3	0	FE+3					
4.7	411616	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+15	0	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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Form SLR 105C must accompany this form

1. Page 1130 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4116 SOM / Pediatrics / Division of Adolescent And Behavioral Health								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.7	411617	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+1	3	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.1.004	411618	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
	411619	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					
	411620	UTMB Sponsored Medical Research / Human (Regulated By FDA) This records series includes UTMB sponsored human related medical research, experiments and data collected. Includes the signed informed consent form and any data safety monitoring reports.	AC+15	0	AC+15	AC = After last contact with subject.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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SLR 105
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1. Page 1131 of 1402

2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4117 SOM / Pediatric Infectious Diseases

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number
			Agency	Storage	Total				
1.1	411701	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.		
1.1	411702	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV				
1.1.007	411703	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	0	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 University 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.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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1. Page 1132 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4117 SOM / Pediatric Infectious Diseases								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.008	411704	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			
1.1.013	411705	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.040	411706	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			
1.1.043	411707	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4117 SOM / Pediatric Infectious Diseases								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	411708	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	411709	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					

Retention Codes (Field 7)

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US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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1. Page 1134 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4117 SOM / Pediatric Infectious Diseases								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.3.001	411710	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	411711	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.3	411712	Time And Effort Report A record certifying the percentage of time worked on a sponsored project during a particular reporting period.	FE+9	0	FE+9					
3.3.020	411713	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.4.006	411714	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4117 SOM / Pediatric Infectious Diseases								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.4.007	411715	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.5.002	411716	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.6.002	411717	Reconciliations	FE+3	0	FE+3					
4.7	411718	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+15	0	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				
5.1.004	411719	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.4.009	411720	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				

Retention Codes (Field 7)

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Archival Codes (Field 8)

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O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4117 SOM / Pediatric Infectious Diseases								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.4.010	411721	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				
5.5.002	411722	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.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
	411723	Laboratory Case Log The records series consists of a log of specimens received daily from patients which records the accession number, name of patient, requesting doctor, collection date, patient type, birth date, patient number.	2	0	2					
	411724	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					
	411725	Training & License Records / Medical This records series consists of the credentials, licenses, certifications, registrations, and permits for medical staff providing patient care, consulting services, and home health including formal training, on the job education, and continuing educational credits.	AC+7	0	AC+7	AC = After separation or termination of employment.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4118 Pediatrics / Clinical Experimental Immunology And Infectious Disease								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	411801	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1.007	411802	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	0	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 University 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.			
1.1.008	411803	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4118 Pediatrics / Clinical Experimental Immunology And Infectious Disease								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	411804	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.040	411805	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			
1.1.043	411806	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

Retention Codes (Field 7)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4118 Pediatrics / Clinical Experimental Immunology And Infectious Disease								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	411807	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	411808	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.065	411809	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4118 Pediatrics / Clinical Experimental Immunology And Infectious Disease								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
2.1.007	411810	Software Programs Automated software applications and operating system files including job control language, program listing/source code, etc.	AC	0	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.				
3.4.006	411811	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	411812	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.7	411813	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				
5.1.015	411814	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	0	1					

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Archival Codes (Field 8)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4118 Pediatrics / Clinical Experimental Immunology And Infectious Disease								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total					
5.2.010	411815	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				
5.2.014	411816	Inventory - Annual Physical Property, equipment, and supply verification.	FE+3	0	FE+3					
5.4	411817	Chemical and Hazardous Waste Disposal Records This series documents the receipt, shipment, and disposal of chemical material or hazardous wastes on campus. This series includes but is not limited to: chemical and waste inspection forms; drum packing sheets; Uniform Hazardous Waste Manifest forms (EPA 8700); Certificates of Disposal from vendors; land disposal notification forms; waste disposal records; and related documentation and correspondence.	PM	0	PM					
5.4.008	411818	Hazard Communication Plans	US+5	0	US+5				Texas Health and Safety Code, 502.009(g).	
5.4.009	411819	Workplace Chemical Lists	30	0	30				Texas Health and Safety Code, 502.005(d).	
5.4.010	411820	Material Safety Data Sheets	AC	0	AC				AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.	

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

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US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4118 Pediatrics / Clinical Experimental Immunology And Infectious Disease								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
5.4.012	411821	Security Access Records Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency facilities, equipment, or automated systems.	AC+2	0	AC+2	AC = Until superseded, date of expiration, or date of termination, whichever sooner.				
	411822	Blood Bank Donor Records Donor record cards including histories, examinations, consent, reactions, donor selection, results of required tests performed on platelets, plasma and red cell pheresis donors, permanent and temporary deferrals, investigation and follow-up, therapeutic bleedings, immunization, and blood collection.	10	0	10	Standards for blood banks and transfusion services AABB, Standards for blood bank and transfusion services, 26th Edition; BB/TS Standard 6.2a.				
	411823	Protocols / Regulated Research This records series includes protocols for regulated studies.	AC+10	0	AC+10	AC = After completion. 21 CFR 58.195.				
	411824	UTMB Sponsored Medical Research / Animals This records series includes animal related research, experiments, and data collected.	6	0	6					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4119 SOM / Pediatric Medical Education								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	411901	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O				
1.1	411902	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1	411903	Special Lectures This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on catering arrangements; news releases; recordings and transcripts; photographs; and related documentation and correspondence.	CE+5	0	CE+5	O				
1.1.008	411904	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	0	2	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4119 SOM / Pediatric Medical Education								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	411905	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.040	411906	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			
1.1.043	411907	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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Archival Codes (Field 8)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4119 SOM / Pediatric Medical Education								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	411908	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.3.001	411909	<p>State Publications</p> <p>One copy of each state publication as defined on page xi of the introduction 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.</p>	AC+2	0	AC+2	<p>AC = Until superseded or obsolete.</p> <p>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).</p>				

Retention Codes (Field 7)		Archival Codes (Field 8)
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4119 SOM / Pediatric Medical Education								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.002	411910	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.3.020	411911	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.4.006	411912	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	411913	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
5.1.004	411914	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
	411915	Admissions Records / Accepted This series documents the application process for individuals seeking admission to the institution or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC	5	AC+5	AC = Graduation or date of last attendance.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4119 SOM / Pediatric Medical Education								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	411916	Admissions Records / Denied This series documents the applications process for individuals that have been denied admission to the University or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC+1	0	AC+1	AC = After application term.				
	411917	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				
	411918	Honors / Awards / Eligibility And History This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. The series may include but is not limited to: eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases.	PM	0	PM					
	411919	Honors / Awards / Supporting Documentation Records that document the process of selecting honors and award winners. Records may include but are not limited to: applications, nomination letters, recommendations, letters of award notification or denial, letters accepting or declining awards, vote tallies, transcripts, CV's, essays, course evaluations, ranking sheets, and related documentation and correspondence.	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4119 SOM / Pediatric Medical Education								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	411920	Medical Rotation Records / Medical Students Not Affiliated This records series documents medical students not affiliated with this university, but are accepted to practice medicine under the supervision of a licensed physician at this hospital as part of an elective not offered at their hospital. Records may include but are not limited to: formal request to rotate, CV, criminal background check, drug test, evaluations, and related correspondence.	AC+5	0	AC+5	AC = Completion of course or date of last attendance.				
	411921	Medical Rotation Records / Residents And Fellows Not Affiliated This records series documents residency physicians or fellows not affiliated with this University, but are accepted to practice medicine under the supervision of a licensed physician at this hospital as part of an elective not offered at their hospital. Records may include but are not limited to: formal request to rotate, CV, criminal background check, drug test, permit to practice medicine, evaluations, and related correspondence.	AC+5	0	AC+5	AC = Completion of course or date of last attendance.				
	411922	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+5	45	AC+50	AC = Completion of training.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4121 SOM / Pediatrics General								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	412101	Subpoenas Legal document requiring recipient to appear in court to testify, or to produce records to be used in litigation.	FE+3	0	FE+3					
1.1.007	412102	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	0	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 University 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.				
1.1.008	412103	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4121 SOM / Pediatrics General								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	412104	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.043	412105	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4121 SOM / Pediatrics General								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	412106	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	412107	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.065	412108	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	412109	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4121 SOM / Pediatrics General								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.3.020	412110	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.3.024	412111	Personnel Policies and Procedures Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.	US+3	0	US+3					
3.4.006	412112	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+1	3	FE+4	40 TAC 815.106(i).				
3.4.007	412113	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+1	2	FE+3					
4.7	412114	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+5	10	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4121 SOM / Pediatrics General								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.7	412115	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
	412116	Medical Opinions and Advice This records series documents medical opinions and advice provided by University physicians to organizations outside of the University.	2	0	2					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4122 SOM / Pharmacology And Toxicology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.008	412201	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.057	412202	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	412203	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
3.4.006	412204	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4122 SOM / Pharmacology And Toxicology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total					
3.4.007	412205	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.2.005	412206	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	9	FE+9					
5.1	412207	Shipping Records This series provides a record of items that are mailed by the department via UPS, Federal Express, or another carrier. Records may be used for billing and/or tracking. These records include: printing and mailing shipping forms; parcel mailing order forms; and related correspondence.	1	0	1					
5.1.014	412208	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	0	US+1					
5.3	412209	Procurement Card Records A record of purchases made with a University of Texas Medical Branch Procurement Card. This records series may include but is not limited to: Procurement Card Transaction Log, original charge slip, sales receipt, packing slip, invoice, or any other information related to the purchase.	FE+3	0	FE+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4122 SOM / Pharmacology And Toxicology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.3.004	412210	Order - Acknowledgments This records series consists of customer notification that their order was received by the supplier.	AV	0	AV					
	412211	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC	7	AC+7		AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).			
	412212	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	AC+7	0	AC+7		AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).			
	412213	Program And Course Development Records This records series documents the development, approval, and the implementation of undergraduate, graduate, and professional degree programs and any other reorganizations or changes to established programs. Records may include but are not limited to: working papers, final reports, related course descriptions, outlines, sample examinations, textbook lists, etc.	6	0	6	O				
	412214	Qualifying Exam A record of an examination (usually one from a sequence) that qualifies a student to continue studies at a higher level. Records may include but are not limited to: the examination and answer sheet.	AC+1	0	AC+1		AC = After end of academic year.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4122 SOM / Pharmacology And Toxicology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	412215	Student Academic Records Records may include but are not be limited to: date of admission, period of attendance, academic work undertaken, academic work successfully completed, honors awarded, diploma, degree, or certificate earned, and appropriate evaluation of work completed for students such as medical, nurses, and other professional type students. Also includes course changes and add/drops.	AC	10	AC+10	AC = Graduation or date of last attendance.				
	412216	Student Recruitment Records This series documents efforts of the institutional units to recruit students based upon disadvantaged status, academic performance, and other criteria. Records may include but are not limited to: prospects lists, interview and conversation notes, personal information forms and resumes, test scores, academic transcripts, travel and hotel accommodations, and related documentation and correspondence.	1	4	5					
	412217	Test Questions And Examinations Records may include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC	2	AC+2	AC = After graduation or date of last attendance.				

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal
CE - Calendar Year End FE - Fiscal Year End	PM - Permanent US - Until Superseded
LA - Life Of Asset MO - Months	



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4123 SHP / Physical Therapy								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	412301	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	412302	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1.007	412303	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	0	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 University 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.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4123 SHP / Physical Therapy								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	412304	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.057	412305	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4123 SHP / Physical Therapy								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.3.001	412306	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
3.1.001	412307	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	0	2	29 CFR 1602.49(a) [State Universities].				
3.4.006	412308	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	412309	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4123 SHP / Physical Therapy								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.7	412310	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				
4.7	412311	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
	412312	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				
	412313	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	AC+7	0	AC+7	AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4123 SHP / Physical Therapy								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	412314	Program And Course Development Records This records series documents the development, approval, and the implementation of undergraduate, graduate, and professional degree programs and any other reorganizations or changes to established programs. Records may include but are not limited to: working papers, final reports, related course descriptions, outlines, sample examinations, textbook lists, etc.	6	0	6	O				
	412315	Student Academic Records Records may include but are not be limited to: date of admission, period of attendance, academic work undertaken, academic work successfully completed, honors awarded, diploma, degree, or certificate earned, and appropriate evaluation of work completed for students such as medical, nurses, and other professional type students. Also includes course changes and add/drops.	AC+2	8	AC+10		AC = Graduation or date of last attendance.			
	412316	UTMB Sponsored Medical Research / Human (Regulated By FDA) This records series includes UTMB sponsored human related medical research, experiments and data collected. Includes the signed informed consent form and any data safety monitoring reports.	AC+15	0	AC+15		AC = After last contact with subject.			
	412317	Test Questions And Examinations Records may include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC+2	0	AC+2		AC = After graduation or date of last attendance.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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1. Page 1165 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4127 SON / Academic Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	412704	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	0	2					
1.1.013	412705	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.040	412706	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4127 SON / Academic Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	412707	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.065	412708	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	412709	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4127 SON / Academic Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.001	412710	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	412711	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
4.5.002	412712	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
5.1.014	412713	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	0	US+1					

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4128 SON / Doctoral Program

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number
			Agency	Storage	Total				
1.1	412801	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.		
1.1	412802	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.		
1.1	412803	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4128 SON / Doctoral Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	412804	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	0	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 University 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.				
1.1.008	412805	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.040	412806	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4128 SON / Doctoral Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	412807	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.070	412808	<p>Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.</p>	AC+3	0	AC+3	<p>O AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4128 SON / Doctoral Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.001	412809	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	412810	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
	412811	Admissions Records / Accepted This series documents the application process for individuals seeking admission to the institution or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC+5	0	AC+5	AC = Graduation or date of last attendance.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4128 SON / Doctoral Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	412812	Admissions Records / Denied This series documents the applications process for individuals that have been denied admission to the University or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC+1	0	AC+1	AC = After application term.				
	412813	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	AC+7	0	AC+7	AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).				
	412814	Grade Reports This series documents grades received by students for the term. The series includes but is not limited to: course numbers and titles, grades awarded, grade point average, student name, and social security number.	AC+1	0	AC+1	AC = Date distributed. Information may be exempt from public disclosure.				
	412815	Program And Course Development Records This records series documents the development, approval, and the implementation of undergraduate, graduate, and professional degree programs and any other reorganizations or changes to established programs. Records may include but are not limited to: working papers, final reports, related course descriptions, outlines, sample examinations, textbook lists, etc.	6	0	6	O				
	412816	Scholarship Applications -- Not Awarded A record of students who have applied for departmental scholarships and who have not been awarded scholarship funds.	AC+2	0	AC+2	AC = After completion of application process.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4128 SON / Doctoral Program								
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			Agency	Storage	Total	9. Remarks				
	412817	Scholarships Awarded by Department / Selection Records A record of recipients of departmentally-administered scholarship funds (not administered by University Financial Aid Office). May include application materials for students receiving the scholarships; forms rating the applicants; award notification letters, etc	AC+6	0	AC+6	AC = After award.				
	412818	Student Grievance Records This series documents grievances brought forward by students against the institution which do not result in litigation. Grievances may pertain to academic issues, housing, affirmative action and equal opportunity, student conduct, and other issues. Records may include but are not limited to: notices of grievance, informal discussion notes, grievance responses, formal hearing notes (including audio tapes), final summary statements, settlement agreements, appeals documentation, and related records.	AC+3	0	AC+3	AC = After resolution.				
	412819	Test Questions And Examinations Records may include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC+2	0	AC+2	AC = After graduation or date of last attendance.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4129 SON / Academic Programs								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	412901	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1.007	412902	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	0	4	O				
1.1.008	412903	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	0	2					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4129 SON / Academic Programs								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	412904	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.038	412905	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3	AC = After completion of survey. SEE item number 1.1.067 for summary reports compiled from customer surveys.				

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			Agency	Storage	Total	9. Remarks				
3.3.020	412910	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
5.2.026	412911	Facilities Reservation Logs Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.	2	0	2					
	412912	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i). AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).				
	412913	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	AC+7	0	AC+7					
	412914	Program And Course Development Records This records series documents the development, approval, and the implementation of undergraduate, graduate, and professional degree programs and any other reorganizations or changes to established programs. Records may include but are not limited to: working papers, final reports, related course descriptions, outlines, sample examinations, textbook lists, etc.	6	0	6		O			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4130 SON / SIM Lab								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	413004	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	0	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 University 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.				
1.1.008	413005	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4130 SON / SIM Lab								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	413006	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.040	413007	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			
1.1.043	413008	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4130 SON / SIM Lab								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	413009	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	413010	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4130 SON / SIM Lab								
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			Agency	Storage	Total	9. Remarks				
1.3.001	413011	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	413012	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
2.2.013	413013	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	0	AC	AC = No longer needed as an audit trail for any records modified.				

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			Agency	Storage	Total				9. Remarks	
3.1.020	413014	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	0	AC+5	AC = Termination of corrective action. CAUTION: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from this series used to support disciplinary action must be retained for the minimum retention period described by item number 3.1.021.				
5.2.005	413015	Calibration Records (Equipment or Instrument)	10	0	10					
5.2.010	413016	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				
5.4	413017	Accident Reports Reports of any accidents or incidents incurred by student, or visitor to the University.	AC+3	0	AC+3	AC = Date of settlement. CAUTION: If the accident involves a minor, the record retention period is extended until three years after the minor reaches the age of majority if no claim filed, or date of settlement or denial of the claim if claim is filed, whichever is applicable. Civil Practice and Remedies Code, Section 16.001.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4130 SON / SIM Lab								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
5.4.002	413018	Evacuation Plans Plans for evacuation of agency facilities in cases of emergency.	US	0	US					
5.4.012	413019	Security Access Records Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency facilities, equipment, or automated systems.	AC+2	0	AC+2		AC = Until superseded, date of expiration, or date of termination, whichever sooner.			
	413020	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	AC+7	0	AC+7		AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).			
	413021	Grade Reports This series documents grades received by students for the term. The series includes but is not limited to: course numbers and titles, grades awarded, grade point average, student name, and social security number.	AC+1	0	AC+1		AC = Date distributed. Information may be exempt from public disclosure.			
	413022	Program And Course Development Records This records series documents the development, approval, and the implementation of undergraduate, graduate, and professional degree programs and any other reorganizations or changes to established programs. Records may include but are not limited to: working papers, final reports, related course descriptions, outlines, sample examinations, textbook lists, etc.	6	0	6	O				
	413023	Student Advising Records This series is used to provide a record of an undergraduate and/or graduate student's advisement progress within a specific department and or college program.	AC+2	0	AC+2		AC = After degree completed or last enrollment. Portions of these records may be exempt from public disclosure.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4131 SON / Office Of Admissions And Student Affairs								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	413101	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.			
1.1	413102	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1.007	413103	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	0	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 University 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.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4131 SON / Office Of Admissions And Student Affairs								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.008	413104	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			
1.1.013	413105	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.024	413106	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.			
1.1.040	413107	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4131 SON / Office Of Admissions And Student Affairs								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.043	413108	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					
1.1.057	413109	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	413110	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.065	413111	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4131 SON / Office Of Admissions And Student Affairs								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.067	413112	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				
1.1.070	413113	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
1.3.001	413114	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4131 SON / Office Of Admissions And Student Affairs								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.002	413115	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
4.5.002	413116	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3		Monthly reconciliation and approval of expenses required by internal audit.			
5.1.014	413117	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	0	US+1					
	413118	Commencement Records This series documents commencement program planning and implementation at the institution. Records may include but are not limited to: commencement attendance forms, planning records created by commencement committees or other planning groups, and related documentation and correspondence.	PM	0	PM					
	413119	Recruitment Records This series provides a record of recruiter visits to the campus to conduct job interviews. Records may include but are not limited to: scheduling calendars; recruiter schedules; affirmative action statements; recruiter information forms, list of interviewees, feedback forms from recruiters, and related documentation and correspondence.	2	0	2	I				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4132 SON / Clinical Affairs								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	413201	Agreement Administration Records This series provides a record of all phases of the administration of agreements from negotiation to final performance. Records may include but are not limited to: negotiation issues documentation, memos of understanding, a copy of the agreement, amendments, scope of work, terms and conditions, billing and payment documentation, and related correspondence.	AC+6	0	AC+6	AC = Completion of the agreement and all actions have been finalized. 45 CFR §164.530(j)(2).				
1.1	413202	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.				
1.1	413203	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4132 SON / Clinical Affairs								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	413204	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	0	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 University 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.				
1.1.008	413205	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4132 SON / Clinical Affairs								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	413206	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.024	413207	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.				
1.1.040	413208	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4132 SON / Clinical Affairs								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	413209	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	413210	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.065	413211	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	413212	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4132 SON / Clinical Affairs								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	413213	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.4.006	413214	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	413215	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.1.007	413216	Transfers or Budget Revisions Transfers or adjustment to budgets.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.5.006	413217	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4134 AS / Office Of Continuing Medical Education								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	413401	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	CE+4	2	CE+6	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation. Retention is based on the Accreditation Council for Continuing Education (ACCME), 152-Policy-08 Documentation.			
1.1	413402	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.			
1.1.008	413403	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4134 AS / Office Of Continuing Medical Education								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	413404	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.070	413405	<p>Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.</p>	AC+3	0	AC+3	<p>O AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>				
3.4.006	413406	<p>Time Cards and Time Sheets</p> <p>A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.</p>	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	413407	<p>Time Off and/or Sick Leave Requests</p> <p>This records series may include but not be limited to Leave Request Forms and other supporting documentation.</p>	FE+3	0	FE+3					

Retention Codes (Field 7)		Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	I - Retain in Archives O - Review Required Before Disposal
	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4134 AS / Office Of Continuing Medical Education								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.1.002	413408	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				
4.5.002	413409	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
5.1.012	413410	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	0	US+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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1. Page 1204 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4135 SOM / PMCH / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
1.1	413501	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1.007	413502	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	0	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 University 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.			
1.1.008	413503	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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1. Page 1205 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4135 SOM / PMCH / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	413504	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.070	413505	<p>Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.</p>	AC+3	0	AC+3	<p>O AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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Form SLR 105C must accompany this form

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4135 SOM / PMCH / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.1	413506	<p>Appointment, Promotion, And Tenure Records</p> <p>This series documents the periodic consideration of faculty who are eligible for promotion in rank and change in tenure status, appointments to the ranks of Associate Professor and Professor and to endowed Chairs and Professorships, and compliance with U.T. System regulations for periodic performance evaluation of tenured faculty. Records may include but are not limited to appointment, promotion and tenure proposals submitted by departments for review by the School of Medicine Appointment, Promotion, and Tenure (APT) Committee and the Executive Committee - Faculty of Medicine, committee recommendations and approvals, and documentation of post-tenure review recommendations. Proposals may include but are not limited to: Chairs' letter of proposal, departmental APT committee's letter of recommendation, letters of evaluation and a current curriculum vitae.</p> <p>These files should always be maintained physically separate from faculty files.</p>	AC+5	0	AC+5	O	AC = Termination of Employment. 29 CFR 1602.49.			
3.1	413507	<p>Faculty and Non-teaching Recruitment Records</p> <p>This records series documents the recruitment of faculty and non-teaching positions by the University. Records may include but are not limited to: request to post, position description, recruiting plan (includes search committee list), advertising, interview detail, Approval To Interview Form (pre-interview summary), applicants recommended for interview, CV's for all applicants listed and related correspondence.</p>	FE+2	0	FE+2					
3.4.006	413508	<p>Time Cards and Time Sheets</p> <p>A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.</p>	FE+4	0	FE+4		40 TAC 815.106(i).			

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4135 SOM / PMCH / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.4.007	413509	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.7	413510	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC	2	AC+2	AC = After notification.				
4.7	413511	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+15	0	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4135 SOM / PMCH / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.7	413512	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+1	3	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
	413513	Final Laboratory Test Reports This records series consists of the legally reproduced copies of each test result and preliminary reports on pathology testing. Documentation includes all the information recorded on the test requisition plus the specimen's accession number, the date and time the lab received the specimen, the condition and disposition of samples which do not meet the lab's acceptance standards, the records and dates of performance of each step in the patient testing leading to and including the final report.	10	0	10	42 CFR 493.1101.				
	413514	Non-Regulated Research Data Research data compiled from primary sources, includes laboratory notes.	AC+7	0	AC+7	AC = After completion of study.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4135 SOM / PMCH / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	413515	Research Data for Research that is Exempt from Human Subjects Review Research documentation and data obtained during the course of a study, which either does not use humans as study subjects or which is exempt from review or subject to expedited review by the Human Subjects Review Committee. May include anonymous surveys or questionnaires, research data from research using animal subjects, etc.	AC+7	0	AC+7	AC = After completion of study.				
	413516	UTMB Sponsored Medical Research / Animals This records series includes animal related research, experiments, and data collected.	6	0	6					
	413517	UTMB Sponsored Medical Research / Human (Regulated By FDA) This records series includes UTMB sponsored human related medical research, experiments and data collected. Includes the signed informed consent form and any data safety monitoring reports.	AC+15	0	AC+15	AC = After last contact with subject.				
	413518	UTMB Sponsored Medical Research / Human (Regulated By FDA) / HEPESE Study This records series includes UTMB sponsored human related medical research, experiments and data collected. Includes the signed informed consent form and any data safety monitoring reports.	AC	40	AC+40	AC = After completion of study. Retention is based on department policy.				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
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Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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Form SLR 105C must accompany this form

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4136 SOM / PMCH / Education								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	413601	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1.008	413602	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			
1.1.057	413603	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC		AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).			
1.1.065	413604	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4146 SHP / Respiratory Care								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	414601	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	414602	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1.007	414603	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	0	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 University 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.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4146 SHP / Respiratory Care								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	414604	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	0	2					
1.1.013	414605	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.024	414606	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.				
1.1.038	414607	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3	AC = After completion of survey. SEE item number 1.1.067 for summary reports compiled from customer surveys.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4146 SHP / Respiratory Care								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.040	414608	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			
1.1.057	414609	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC		AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).			
1.1.067	414610	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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Form SLR 105C must accompany this form

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4146 SHP / Respiratory Care								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.3.020	414611	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.4.007	414612	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
5.1.004	414613	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
	414614	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				
	414615	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	AC+7	0	AC+7	AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).				
	414616	Test Questions And Examinations Records may include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC+2	3	AC+5	AC = After graduation or date of last attendance. Retention is based on department policy.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4149 Radiology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	414901	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	414902	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.			
1.1	414903	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1	414904	Subpoenas Legal document requiring recipient to appear in court to testify, or to produce records to be used in litigation.	FE+3	0	FE+3		Some information may be exempt from public disclosure.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4149 Radiology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.006	414905	Complaint Records Complaints received by the agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+2	0	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 (litigation files).			
1.1.007	414906	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	0	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 University 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.			
1.1.008	414907	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4149 Radiology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	414908	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.023	414909	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.				
1.1.040	414910	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4149 Radiology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	414911	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	414912	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.067	414913	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				
1.1.069	414914	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	0	1	CAUTION: SEE item number 1.1.064.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4149 Radiology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	414915	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O				
1.3.001	414916	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	AC+2	O				
1.3.002	414917	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.3.020	414918	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4149 Radiology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.3.027	414919	Aptitude and Skills Tests Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US+2	0	US+2	29 CFR 1602.49 (State Universities). CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.				
3.3.028	414920	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	0	2	29 CFR 1602.49 (State Universities).				
3.4.006	414921	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+2	2	FE+4	40 TAC 815.106(i).				
3.4.007	414922	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.5.002	414923	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE	3	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
5.1.004	414924	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4149 Radiology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.4.010	414932	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				
	414933	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE+1	4	FE+5					
	414934	Source Data / Medical / Mammography This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE+10	0	FE+10				Retention is based on Texas Health & Safety Code § 401.424 and 25 Texas Administrative Code § 289.230(t)(4) (2007) (Department of State Health Services, Radiation Control)	

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4150 Student Life								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	415001	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.			
1.1	415002	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1	415003	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4150 Student Life								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1	415004	Release / Liability Waiver This series documents the release of the institution or administrative unit from liability related to various activities involving students, faculty, or staff. Activities may include events such as sponsored field trips and physical education classes. Records include but are not limited to hold harmless, waiver, and release forms, related documentation, and correspondence. Information includes a statement from the participant that he/she assumes personal responsibility and holds the institution or administrative unit blameless for any accident or injury that may occur while participating, information about college insurance, description of the activity, and signatures of the participant.	AC+4	0	AC+4	AC = After release.				
1.1.007	415005	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	0	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 University Archives when these records have met their retention periods. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4150 Student Life								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	415006	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	0	2					
1.1.013	415007	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.038	415008	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3	AC = After completion of survey. SEE item number 1.1.067 for summary reports compiled from customer surveys.				
1.1.040	415009	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4150 Student Life								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	415010	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	415011	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.070	415012	<p>Agency Rules, Policies, and Procedures - Final</p> <p>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.</p>	AC+3	0	AC+3	<p>O AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4150 Student Life								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.001	415013	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	415014	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
4.2.002	415015	Cash Receipts Includes receipts for fees (permits, licenses, renewals, etc.)	FE+3	0	FE+3					
4.4.003	415016	Accounts Payable Ledgers	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4150 Student Life								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.1.004	415017	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.1.014	415018	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	0	US+1					
	415019	Equipment Usage Log This series is used to monitor the loan and return of university property such as recreational equipment and lockers and is also used to determine usage trends as an aid to purchase and replacement decisions. Records may include but are not limited to: locker agreements; equipment loan forms; usage logs; and related correspondence.	2	0	2					
	415020	Honors / Awards / Eligibility And History This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. The series may include but is not limited to: eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases.	PM	0	PM					
	415021	Student Organization Administrative Records / Student Sponsored This series documents the history, development, and policies of student sponsored organizations. Records may include but are not limited to: registration forms, constitutions and bylaws, and risk management acknowledgement forms.	AC+5	0	AC+5				O	

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal
CE - Calendar Year End FE - Fiscal Year End	
LA - Life Of Asset MO - Months	
PM - Permanent US - Until Superseded	



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4155 SOM / Orthopaedic Surgery And Rehabilitation								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	415501	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	415502	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1	415503	Special Lectures This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on catering arrangements; news releases; recordings and transcripts; photographs; and related documentation and correspondence.	CE+5	0	CE+5	O				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4155 SOM / Orthopaedic Surgery And Rehabilitation								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	415504	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	0	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 University 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.				
1.1.008	415505	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4155 SOM / Orthopaedic Surgery And Rehabilitation								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	415506	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.040	415507	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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1. Page 1236 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4155 SOM / Orthopaedic Surgery And Rehabilitation								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	415508	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	415509	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
3.3.020	415510	<p>Work Schedules / Assignments</p> <p>Work, duty, shift, crew, or case schedules, rosters, or assignments.</p>	1	0	1					
3.4.006	415511	<p>Time Cards and Time Sheets</p> <p>A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.</p>	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	415512	<p>Time Off and/or Sick Leave Requests</p> <p>This records series may include but not be limited to Leave Request Forms and other supporting documentation.</p>	FE+3	0	FE+3					

Retention Codes (Field 7)	Archival Codes (Field 8)
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LA - Life Of Asset MO - Months	



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4155 SOM / Orthopaedic Surgery And Rehabilitation								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.5.002	415513	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.7	415514	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				
4.7	415515	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+15	0	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4155 SOM / Orthopaedic Surgery And Rehabilitation								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.7	415516	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.2.005	415517	Calibration Records (Equipment or Instrument)	10	0	10					
5.4.007	415518	Hazardous Materials Training Records Records of training given to employees in an agency hazard communications program.	5	0	5	Texas Health and Safety Code, 502.009(g).				
5.4.008	415519	Hazard Communication Plans	US+5	0	US+5	Texas Health and Safety Code, 502.009(g).				
5.4.009	415520	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	415521	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4155 SOM / Orthopaedic Surgery And Rehabilitation								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	415522	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+50	0	AC+50	AC = Completion of training.				
	415523	UTMB Sponsored Medical Research / Human (Regulated By FDA) This records series includes UTMB sponsored human related medical research, experiments and data collected. Includes the signed informed consent form and any data safety monitoring reports.	AC+15	0	AC+15	AC = After last contact with subject.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4162 SOM / Anesthesiology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	416201	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1.007	416202	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	0	4	O				
1.1.008	416203	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	0	2					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4162 SOM / Anesthesiology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	416204	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.040	416205	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

Retention Codes (Field 7)

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FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4162 SOM / Anesthesiology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	416206	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.069	416207	<p>Reports - Activity</p> <p>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.</p>	1	0	1	<p>CAUTION: SEE item number 1.1.064.</p>				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4162 SOM / Anesthesiology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.5.002	416212	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.7	416213	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				
4.7	416214	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+5	10	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				
5.1.004	416215	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4162 SOM / Anesthesiology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total					
5.2.010	416216	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				
5.2.011	416217	Equipment Warranties	AC+1	0	AC+1	AC = After expiration.				
	416218	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				
	416219	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	AC+7	0	AC+7	AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).				
	416220	Medical Rotation Records / Medical Students Not Affiliated This records series documents medical students not affiliated with this university, but are accepted to practice medicine under the supervision of a licensed physician at this hospital as part of an elective not offered at their hospital. Records may include but are not limited to: formal request to rotate, CV, criminal background check, drug test, evaluations, and related correspondence.	AC+5	0	AC+5	AC = Completion of course or date of last attendance.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4162 SOM / Anesthesiology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	416221	Medical Rotation Records / Residents And Fellows Not Affiliated This records series documents residency physicians or fellows not affiliated with this University, but are accepted to practice medicine under the supervision of a licensed physician at this hospital as part of an elective not offered at their hospital. Records may include but are not limited to: formal request to rotate, CV, criminal background check, drug test, permit to practice medicine, evaluations, and related correspondence.	AC+5	0	AC+5	AC = Completion of course or date of last attendance.				
	416222	Patient Billing Provides itemized billing record for medical services rendered. Records may include but are not limited to: patient demographic information; electronic billing reports; copies of all monthly aged trail balance reports; physical logs detailing patient or insurance payments; copies of checks, ledgers, or any other information that details specific payments; insurance vouchers from Medicare, Medicaid, or any other entity with which the hospital has specific contracts; any contact from patients disputing any portion of their hospital bills for which the billing department has kept the original document, related correspondence.	1	9	10	42 CFR 422.504(d).				
	416223	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+50	0	AC+50	AC = Completion of training.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4162 SOM / Anesthesiology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
	416224	Recruitment Records This series provides a record of recruiter visits to the campus to conduct job interviews. Records may include but are not limited to: scheduling calendars; recruiter schedules; affirmative action statements; recruiter information forms, list of interviewees, feedback forms from recruiters, and related documentation and correspondence.	2	0	2	I				
	416225	Special Academic Programs Student Records / Enrolled This series documents and tracks the application, admission, selection, and progress of institution students participating in special academic programs serving, guiding, and aiding institution students. This series consists of the individual files for students participating in special institution programs which provide services ranging from counseling and tutoring to tuition waiver assistance. Programs may include but are not limited to: the English Language Institute (ELI) and American English Institute, Educational Opportunities Program (EOP), non-traditional student programs, Older Than Average Student Program and Adult Learners, National Student Exchange Program (NSE), Native American Science Program (NASP), University Exploratory Studies Student Program (UESP), Study Abroad Program, Academic Learning Services (ALS), Peer Advising, and other special academic programs. Records may include but are not limited to: application documentation, personal information, medical and health documentation, admission documentation, recommendations and evaluative materials, copies of academic records, counseling and advising notes and documentation, risk release and insurance forms, immigration and citizenship documentation, financial responsibility records, reports, and related documentation and correspondence.	AC+1	9	AC+10		AC = After graduation or date of last attendance. Portions of these records may be exempt from public disclosure.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4165 SOM / Pediatrics Early Childhood Intervention / LAUNCH								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	416501	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	0	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 University 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.				
1.1.008	416502	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4165 SOM / Pediatrics Early Childhood Intervention / LAUNCH								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	416503	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.038	416504	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3	AC = After completion of survey. SEE item number 1.1.067 for summary reports compiled from customer surveys.				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
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LA - Life Of Asset
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Archival Codes (Field 8)

I - Retain in Archives
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4165 SOM / Pediatrics Early Childhood Intervention / LAUNCH								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	416505	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	416506	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.065	416507	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	416508	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal
CE - Calendar Year End FE - Fiscal Year End	PM - Permanent US - Until Superseded
LA - Life Of Asset MO - Months	



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4165 SOM / Pediatrics Early Childhood Intervention / LAUNCH								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.002	416509	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.4.006	416510	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+1	3	FE+4		40 TAC 815.106(i).			
4.1.002	416511	Billing Detail Provides itemized billing record for services rendered.	FE	9	FE+9		UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.			
4.5.002	416512	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3		Monthly reconciliation and approval of expenses required by internal audit.			

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
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LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4165 SOM / Pediatrics Early Childhood Intervention / LAUNCH								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.7	416513	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
	416514	Early Childhood Intervention Records Early childhood intervention records that may include but not be limited to: intake information, assessments, releases, diagnoses, plans, and progress notes of intervention by all staff, including occupational therapists, physical therapists, speech pathologists, nutritionists, early intervention specialists, and social workers. May also contain medical or other intervention records from other Early Childhood Intervention programs.	AC	5	AC+5	AC = Discharge date. 40 TAC 108.237, 22 TAC 781.204(f), 22 TAC 781.209(4), and 22 TAC 741.43.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4166 Non-Invasive Cardiology Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	416601	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	0	2					
1.1.013	416602	Calendars, Appointment Books 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	0	CE+1	O				
1.1.023	416603	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I				
1.1.038	416604	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4166 Non-Invasive Cardiology Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	416605	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	416606	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.067	416607	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
1.1.069	416608	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	0	1		CAUTION: SEE item number 1.1.064.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4166 Non-Invasive Cardiology Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	416609	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.3.020	416610	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.4.006	416611	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	416612	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.2.005	416613	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4166 Non-Invasive Cardiology Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
	416614	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					
	416615	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE+1	4	FE+5					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4167 Surgery / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	416701	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.			
1.1	416702	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1.007	416703	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.	1	3	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 University Archives when these records have met their retention periods. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4167 Surgery / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.040	416708	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O				
1.1.043	416709	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					
1.1.057	416710	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4167 Surgery / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.063	416711	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.065	416712	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	AV					
1.1.067	416713	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O				
1.3.001	416714	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	AC+2					

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal
CE - Calendar Year End FE - Fiscal Year End	PM - Permanent US - Until Superseded
LA - Life Of Asset MO - Months	



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SLR 105
Form SLR 105C must accompany this form

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4167 Surgery / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.002	416715	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.3.020	416716	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.3.025	416717	Job Procedure Records Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US+3	0	US+3					
3.4.006	416718	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+1	3	FE+4	40 TAC 815.106(i).				
3.4.007	416719	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.5.002	416720	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+1	2	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.5.006	416721	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4167 Surgery / Administration

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number
			Agency	Storage	Total			
5.1.004	416725	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year. Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned. Texas Health and Safety Code, 502.009(g). Texas Health and Safety Code, 502.009(g). Texas Health and Safety Code, 502.005(d). AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.		
5.1.014	416726	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	0	US+1			
5.2.010	416727	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA			
5.4.007	416728	Hazardous Materials Training Records Records of training given to employees in an agency hazard communications program.	5	0	5			
5.4.008	416729	Hazard Communication Plans	US+5	0	US+5			
5.4.009	416730	Workplace Chemical Lists	30	0	30			
5.4.010	416731	Material Safety Data Sheets	AC	0	AC			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4167 Surgery / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	416732	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				
	416733	Medical Opinions and Advice This records series documents medical opinions and advice provided by University physicians to organizations outside of the University.	2	0	2					
	416734	Medical Research / Clinical Trials Not Associated With Grants Research data and documentation gathered or created in the course of a clinical trial in which the University is the primary sponsor. May include case reports, shipping records, research data from investigators, internal research data, study protocols/ designs and amendments, FDA forms, pharmaceutical studies, findings, research papers and serious adverse events reports.	5	PM	PM					
	416735	Medical Rotation Records / Residents And Fellows Not Affiliated This records series documents residency physicians or fellows not affiliated with this University, but are accepted to practice medicine under the supervision of a licensed physician at this hospital as part of an elective not offered at their hospital. Records may include but are not limited to: formal request to rotate, CV, criminal background check, drug test, permit to practice medicine, evaluations, and related correspondence.	AC+5	0	AC+5	AC = Completion of course or date of last attendance.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4167 Surgery / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	416736	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+50	0	AC+50	AC = Completion of training.				
	416737	Recruitment Records This series provides a record of recruiter visits to the campus to conduct job interviews. Records may include but are not limited to: scheduling calendars; recruiter schedules; affirmative action statements; recruiter information forms, list of interviewees, feedback forms from recruiters, and related documentation and correspondence.	2	0	2	I				
	416738	Source Data / Medical This records series includes health information stored in any original media. Examples of this series may include but are not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The Unit Medical Record (UMR) must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the UMR.	FE	5	FE+5					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4171 SON / Office Of Education Technology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.043	417105	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US	1	US+1					
1.1.057	417106	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	417107	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4173 SOM / Institute For Human Infections And Immunity								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	417301	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.			
1.1	417302	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1.007	417303	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	0	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 University 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.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4173 SOM / Institute For Human Infections And Immunity								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	417307	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.067	417308	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	O	<p>ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>			
1.1.070	417309	<p>Agency Rules, Policies, and Procedures - Final</p> <p>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.</p>	AC+3	0	AC+3	O	<p>AC = Completion or termination of program, rules, policies or procedures.</p> <p>SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.</p>			

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal
CE - Calendar Year End FE - Fiscal Year End	PM - Permanent US - Until Superseded
LA - Life Of Asset MO - Months	



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4173 SOM / Institute For Human Infections And Immunity								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.3.001	417310	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	417311	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.4.006	417312	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	417313	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4173 SOM / Institute For Human Infections And Immunity								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.1.002	417314	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				
4.2.005	417315	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.5.002	417316	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
4.6.002	417317	Reconciliations	FE+3	0	FE+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4173 SOM / Institute For Human Infections And Immunity								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.7	417318	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				
4.7	417319	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
	417320	Honors / Awards / Eligibility And History This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. The series may include but is not limited to: eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases.	PM	0	PM					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4174 John Sealy Memorial Endowment Fund For Biomedical Research								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	417401	Endowment Fund Reports Annual report of funds received and expended by endowment accounts to a University department.	AC+6	0	AC+6	O	AC = After liquidation of funds.			
1.1	417402	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1.008	417403	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			
1.1.057	417404	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC		AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4174 John Sealy Memorial Endowment Fund For Biomedical Research								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.5.006	417405	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3					
4.7	417406	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+1	1	AC+2	AC = After notification.				
4.7	417407	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC	4	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal
CE - Calendar Year End FE - Fiscal Year End	
LA - Life Of Asset MO - Months	
PM - Permanent US - Until Superseded	



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4177 Student Health And Counseling								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	417701	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1.007	417702	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	0	4	O				
1.1.008	417703	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	0	2					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4177 Student Health And Counseling								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	417704	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	417705	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4177 Student Health And Counseling								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
1.1.063	417706	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.067	417707	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
1.1.070	417708	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			
4.1	417709	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+7	0	FE+7					
4.5.002	417710	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE	3	FE+3		Monthly reconciliation and approval of expenses required by internal audit.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4177 Student Health And Counseling								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
5.1.001	417711	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+6	0	AC+6	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2).				
5.1.004	417712	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.1.012	417713	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	0	US+3					
	417714	Family Educational Rights and Privacy Act (FERPA) Documents This series documents the process of student information release requests and consent authorizations or denials in accordance with the Family Educational Rights and Privacy Act. Records may include but are not limited to: requests for formal hearings; requests for release of personally identifiable information; records of disclosures made to third parties; student statements regarding hearing panel decisions; written decisions of the hearing panel; written consent of the student to disclose records; waivers for rights of access; and related documentation and correspondence.	AC+1	0	AC+1	AC = Life of the affected record or until student terminates waiver for written consent of the student to disclose records and waivers for rights of access.				
	417715	Immunization Record And Consent Forms Signed consent forms and records noting the type of immunization performed which are not included in the patient's medical record.	AC	0	AC	AC = 21st birthday or 10 years following end of calendar year in which the consent form was signed, whichever is later.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4177 Student Health And Counseling								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	417716	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	1	2	3					
	417717	Patient Billing Provides itemized billing record for medical services rendered. Records may include but are not limited to: patient demographic information; electronic billing reports; copies of all monthly aged trail balance reports; physical logs detailing patient or insurance payments; copies of checks, ledgers, or any other information that details specific payments; insurance vouchers from Medicare, Medicaid, or any other entity with which the hospital has specific contracts; any contact from patients disputing any portion of their hospital bills for which the billing department has kept the original document, related correspondence.	1	9	10	42 CFR 422.504(d).				
	417718	Prescriptive Delegation Quality Assurance and Improvement Records This series documents how physicians remain in compliance with the Quality Assurance and Improvement Plan that is set up in accordance with a Prescriptive Delegation Agreement.	7	0	7					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4177 Student Health And Counseling								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	417719	Student Health and Counseling Records This series documents all students who are provided health, counseling, psychological, and psychiatric services. Clinicians provide treatment concerning health issues, personal problems, academic concerns, and career concerns. The psychiatric consultant provides psychiatric care to some student clients. Records may include but are not limited to: extensive notes made by providers concerning the assessment, diagnosis, treatment and contacts (written, telephone, or in person) with each client, immunization records, testing results, referral letters, release of information agreements, letters to agencies or others concerning the clients, and related documentation.	AC	7	AC+7	AC = Graduation or date of last attendance. 22 TAC 465.22(d)2 and 22 TAC 681.41(r).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4181 OB/GYN / Pediatrics And Adolescent Gynecology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	418101	Special Lectures This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on catering arrangements; news releases; recordings and transcripts; photographs; and related documentation and correspondence.	CE+5	0	CE+5	O				
1.1.007	418102	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	0	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 University 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.			
1.1.008	418103	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
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US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4181 OB/GYN / Pediatrics And Adolescent Gynecology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	418104	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.057	418105	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC		AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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1. Page 1288 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4181 OB/GYN / Pediatrics And Adolescent Gynecology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.063	418106	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.067	418107	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
1.3.001	418108	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).			
1.3.002	418109	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4181 OB/GYN / Pediatrics And Adolescent Gynecology								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.1	418110	Faculty and Non-teaching Recruitment Records This records series documents the recruitment of faculty and non-teaching positions by the University. Records may include but are not limited to: request to post, position description, recruiting plan (includes search committee list), advertising, interview detail, Approval To Interview Form (pre-interview summary), applicants recommended for interview, CV's for all applicants listed and related correspondence.	FE+2	0	FE+2					
4.7	418111	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+5	10	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				
	418112	Assistantship / Fellowship / Traineeship Applications / Denied A record of applicants for grant, contract or state-funded assistantships, fellowships or traineeships who were not awarded the position. Records may include but are not limited to: applications, current curriculum vitae, list of references, letter of support, written description of research training background and current research interests, and any related correspondence.	AC+2	0	AC+2	AC = After completion of application process.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4183 AS / Academic Resources / Biocommunication Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	418301	Films, Videotapes, and Sound Recordings This series provides visual and/or aural documentation of institutional activities and events including students, faculty, and staff with significant relevance to either the institution's or individual unit's function and mission.	AV	0	AV	O				
1.1	418302	Media Consent Forms This series authorizes the use of audio or visual media. Records may include but are not limited to the signed consent form and related correspondence.	AC+2	0	AC+2	O	AC = After authorization.			
1.1	418303	Photographs And Negatives - Historically Significant Documents the collection of photographs or negatives created by or for an agency. Includes events that document the agency's organization, special ceremonies, occasions, events and facilities. May include commercially available material.	AV	0	AV	I				
1.1.008	418304	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4183 AS / Academic Resources / Biocommunication Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	418305	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	418306	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.065	418307	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	AV					
1.1.070	418308	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O				
1.3.001	418309	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	AC+2					
1.3.002	418310	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4183 AS / Academic Resources / Biocommunication Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.1	418311	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+7	0	FE+7					
4.1.002	418312	Billing Detail Provides itemized billing record for services rendered.	FE+1	8	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				
4.2.002	418313	Cash Receipts Includes receipts for fees (permits, licenses, renewals, etc.)	FE+3	0	FE+3					
4.2.003	418314	Daily Cash Receipts Logs	FE+3	0	FE+3					
4.6.002	418315	Reconciliations	FE+3	0	FE+3					
5.1.012	418316	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	0	US+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4183 AS / Academic Resources / Biocommunication Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
5.1.014	418317	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	0	US+1					
5.2.008	418318	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.	LA+3	0	LA+3					
5.2.010	418319	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				
5.2.026	418320	Facilities Reservation Logs Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.	2	0	2					
5.3	418321	Procurement Card Records A record of purchases made with a University of Texas Medical Branch Procurement Card. This records series may include but is not limited to: Procurement Card Transaction Log, original charge slip, sales receipt, packing slip, invoice, or any other information related to the purchase.	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4184 SOM / Center For Biomedical Engineering								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	418401	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	0	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 University 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.				
1.1.008	418402	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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Archival Codes (Field 8)

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O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4184 SOM / Center For Biomedical Engineering								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
1.1.013	418403	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.040	418404	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			

Retention Codes (Field 7)

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Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4184 SOM / Center For Biomedical Engineering								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	418405	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.070	418406	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.4.006	418407	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	418408	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4184 SOM / Center For Biomedical Engineering								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.7	418409	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				
5.2.008	418410	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.	LA+3	0	LA+3					
5.2.010	418411	Equipment Manuals / Manufacturer A document created by the manufacturer of a device that provides detailed installation and operation instructions.	LA	0	LA	Manufacturer equipment manuals must be maintained for life of the equipment but do NOT need to be documented through destruction authorizations or on university records disposition logs. Manufacturer equipment manuals for items that require prior approval of sale that is coordinated by the University Purchasing Department should accompany the device when processed as surplus equipment or decommissioned.				
5.4.009	418412	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	418413	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				
	418414	UTMB Sponsored Medical Research / Animals This records series includes animal related research, experiments, and data collected.	6	0	6					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4186 AS / Educational Outreach								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	418604	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	0	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 University 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.				
1.1.008	418605	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	0	2					
1.1.014	418606	Legal Opinions and Advice From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV	0	AV	O CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048.				
1.1.040	418607	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

Retention Codes (Field 7)	Archival Codes (Field 8)
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4186 AS / Educational Outreach								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
1.1.043	418608	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					
1.1.057	418609	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	418610	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.065	418611	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4186 AS / Educational Outreach								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.067	418612	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	1	2	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				
3.4.006	418613	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	418614	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.7	418615	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				

Retention Codes (Field 7)	Archival Codes (Field 8)
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4186 AS / Educational Outreach								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.7	418616	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.1.004	418617	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
	418618	Program And Course Development Records This records series documents the development, approval, and the implementation of undergraduate, graduate, and professional degree programs and any other reorganizations or changes to established programs. Records may include but are not limited to: working papers, final reports, related course descriptions, outlines, sample examinations, textbook lists, etc.	6	0	6	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4187 Office Of Clinical Education - Galveston & Office Of Regional Medical Education Austin Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	418701	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O				
1.1	418702	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1.007	418703	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	0	4	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4187 Office Of Clinical Education - Galveston & Office Of Regional Medical Education Austin Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total					
1.1.008	418704	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				
1.1.057	418705	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.063	418706	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.065	418707	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4187 Office Of Clinical Education - Galveston & Office Of Regional Medical Education Austin Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.067	418708	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O				
1.1.070	418709	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O				
3.1	418710	Faculty Database This series includes a database of information on faculty. Files may include address, contact information, CV's, evaluations, and other personal background materials.	10	0	10					
3.4.006	418711	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	418712	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4187 Office Of Clinical Education - Galveston & Office Of Regional Medical Education Austin Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.4.001	418713	General and Subsidiary Ledgers	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
4.5.002	418714	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
5.1.001	418715	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+6	0	AC+6	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2).				
5.1.014	418716	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	0	US+1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4187 Office Of Clinical Education - Galveston & Office Of Regional Medical Education Austin Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.4	418717	Accident Reports Reports of any accidents or incidents incurred by student, or visitor to the University.	AC+3	0	AC+3	AC = Date of settlement. CAUTION: If the accident involves a minor, the record retention period is extended until three years after the minor reaches the age of majority if no claim filed, or date of settlement or denial of the claim if claim is filed, whichever is applicable. Civil Practice and Remedies Code, Section 16.001.				
	418718	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				
	418719	Honors / Awards / Eligibility And History This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. The series may include but is not limited to: eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases.	PM	0	PM					
	418720	Honors / Awards / Supporting Documentation Records that document the process of selecting honors and award winners. Records may include but are not limited to: applications, nomination letters, recommendations, letters of award notification or denial, letters accepting or declining awards, vote tallies, transcripts, CV's, essays, course evaluations, ranking sheets, and related documentation and correspondence.	FE+3	0	FE+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4187 Office Of Clinical Education - Galveston & Office Of Regional Medical Education Austin Program								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks	O			
	418721	Student Academic Records Records may include but are not be limited to: date of admission, period of attendance, academic work undertaken, academic work successfully completed, honors awarded, diploma, degree, or certificate earned, and appropriate evaluation of work completed for students such as medical, nurses, and other professional type students. Also includes course changes and add/drops.	AC	10	AC+10		AC = Graduation or date of last attendance.			
	418722	Student Folders -- Visiting Students A record of students who are pursuing a degree from another institution but who take some University courses, do a clerkship, or research studies at the University.	AC+6	0	AC+6	I	AC = Date of last attendance.			
	418723	Student Statistical Reports This series documents student status and enrollment at the institution. Records may include but are not limited to: specialized listings and statistical reports pertaining to departmental and college registration, course changes, add/drops, geographical distribution of students, student age and gender data, mortality of classes, student transfers from other schools, student body grade point averages and GPAs of living groups, and veterans enrollment; reports documenting student and enrollment by term; and reports on other topics.	AC+5	0	AC+5	O	AC = Date report created.			

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Archival Codes (Field 8)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4188 SOM / Radiology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	418803	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	0	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 University 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.				
1.1.008	418804	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4188 SOM / Radiology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	418805	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.023	418806	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.				
1.1.040	418807	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				
1.1.043	418808	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4188 SOM / Radiology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	418809	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	418810	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.067	418811	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4188 SOM / Radiology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	418812	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
1.3.001	418813	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	418814	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.3.020	418815	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4188 SOM / Radiology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.7	418821	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+5	10	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				
5.1.001	418822	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+6	0	AC+6	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 45 CFR §164.530(j)(2).				
5.1.004	418823	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	0	US	Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.				
5.1.012	418824	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	0	US+3					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4188 SOM / Radiology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	418825	Assistantship / Fellowship / Traineeship Applications / Accepted A record of applicants for grant, contract or state-funded assistantships, fellowships or traineeships who were awarded the position. Records may include but are not limited to: applications, current curriculum vitae, list of references, letter of support, written description of research training background and current research interests, and any related correspondence.	AC+5	0	AC+5	AC = After termination of award if not filed in student record or with the grant.				
	418826	Assistantship / Fellowship / Traineeship Applications / Denied A record of applicants for grant, contract or state-funded assistantships, fellowships or traineeships who were not awarded the position. Records may include but are not limited to: applications, current curriculum vitae, list of references, letter of support, written description of research training background and current research interests, and any related correspondence.	AC+2	0	AC+2	AC = After completion of application process.				
	418827	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				
	418828	Course Evaluations This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	AC+7	0	AC+7	AC = After term in which course is taught. Texas Education Code Section 51.942(c)(i).				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4188 SOM / Radiology / Administration								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	418829	Honors / Awards / Eligibility And History This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. The series may include but is not limited to: eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases.	PM	0	PM					
	418830	Honors / Awards / Supporting Documentation Records that document the process of selecting honors and award winners. Records may include but are not limited to: applications, nomination letters, recommendations, letters of award notification or denial, letters accepting or declining awards, vote tallies, transcripts, CV's, essays, course evaluations, ranking sheets, and related documentation and correspondence.	FE+3	0	FE+3					
	418831	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	3	0	3					
	418832	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+50	0	AC+50	AC = Completion of training.				

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4189 AS / Instruction Management Office

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number
			Agency	Storage	Total			
1.1	418901	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.		
1.1.007	418902	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	0	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 University 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.		
1.1.008	418903	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.		

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4189 AS / Instruction Management Office								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	418904	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.043	418905	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					

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PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4189 AS / Instruction Management Office								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	418906	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	418907	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.067	418908	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	O	<p>ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4189 AS / Instruction Management Office								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.001	418909	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	418910	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
2.1.007	418911	Software Programs Automated software applications and operating system files including job control language, program listing/source code, etc.	AC	0	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4189 AS / Instruction Management Office								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
2.1.009	418912	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	0	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.				
2.2.016	418913	Software Registrations, Warranties And License Agreements	LA+3	0	LA+3					
3.4.007	418914	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
5.1.004	418915	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	0	US		Minor changes to the listings may occur as often as daily, disposition logs may be completed at the end of the fiscal year.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4189 AS / Instruction Management Office

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number
			Agency	Storage	Total			
	418916	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC	7	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).		
	418917	Test Questions And Examinations Records may include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC+2	0	AC+2	AC = After graduation or date of last attendance.		

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	I - Retain in Archives O - Review Required Before Disposal
CE - Calendar Year End FE - Fiscal Year End	
LA - Life Of Asset MO - Months	
	PM - Permanent US - Until Superseded



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4190 SOM / Sealy Center For Vaccine Development								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	419001	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.			
1.1.007	419002	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	0	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 University 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.			
1.1.008	419003	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4190 SOM / Sealy Center For Vaccine Development								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	419004	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	419005	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4190 SOM / Sealy Center For Vaccine Development								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.067	419006	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O				
1.3.001	419007	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	AC+2					
1.3.002	419008	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.4.006	419009	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4190 SOM / Sealy Center For Vaccine Development								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
3.4.007	419010	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.6.002	419011	Reconciliations	FE+3	0	FE+3					
4.7	419012	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				
4.7	419013	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.2.008	419014	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.	LA+3	0	LA+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4190 SOM / Sealy Center For Vaccine Development								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.4.009	419015	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	419016	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				
	419017	Honors / Awards / Eligibility And History This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. The series may include but is not limited to: eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases.	PM	0	PM					
	419018	Honors / Awards / Supporting Documentation Records that document the process of selecting honors and award winners. Records may include but are not limited to: applications, nomination letters, recommendations, letters of award notification or denial, letters accepting or declining awards, vote tallies, transcripts, CV's, essays, course evaluations, ranking sheets, and related documentation and correspondence.	FE+3	0	FE+3					
	419019	Regulated Research Data Research documentation and raw data obtained in the course of a study. May include Investigators' Notebooks for New Drugs (laboratory notes documenting the results of experiments involving new drugs), patient files, case files, and other records of the dates, quantity and use of a new drug on subjects.	AC+15	0	AC+15	AC = After completion of study. 21 CFR § 312.57.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4190 SOM / Sealy Center For Vaccine Development								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
	419020	UTMB Sponsored Medical Research / Animals This records series includes animal related research, experiments, and data collected.	6	0	6					

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4191 Associate Vice President For University Student Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.008	419104	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			
1.1.013	419105	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.023	419106	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I	Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.			
1.1.040	419107	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4191 Associate Vice President For University Student Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	419108	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	419109	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.065	419110	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	419111	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4191 Associate Vice President For University Student Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.070	419112	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.			
1.3.001	419113	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).			
1.3.002	419114	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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1. Page 1337 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4191 Associate Vice President For University Student Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.1.039	419115	Ombudsman Records Consultation records, notes, letters, memos, emails, reports and other documentation.	AC	0	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.				
4.5.002	419116	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4193 SOM / Biomolecular Resource Facility								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	419301	Memberships - Professional Organizations This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	AV	0	AV					
1.1.007	419302	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	0	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 University 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.			
1.1.008	419303	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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1. Page 1339 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4193 SOM / Biomolecular Resource Facility								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	419304	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.023	419305	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.				
1.1.040	419306	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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1. Page 1340 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4193 SOM / Biomolecular Resource Facility								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	419307	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.065	419308	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	419309	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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1. Page 1341 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4193 SOM / Biomolecular Resource Facility								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	419310	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
1.3.001	419311	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	419312	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.4.006	419313	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4		40 TAC 815.106(i).			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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1. Page 1342 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4193 SOM / Biomolecular Resource Facility								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
3.4.007	419314	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.1	419315	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+7	0	FE+7					
4.1.002	419316	Billing Detail Provides itemized billing record for services rendered.	FE+1	8	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				
4.2.001	419317	Cash Deposit Vouchers Cash deposit slips.	FE+3	0	FE+3					
4.5.002	419318	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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1. Page 1343 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4193 SOM / Biomolecular Resource Facility								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total					
4.5.006	419319	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3					
4.7	419320	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				
5.1.012	419321	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	0	US+3					
5.2.005	419322	Calibration Records (Equipment or Instrument)	10	0	10					
5.4.009	419323	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	419324	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4194 SHP / Division Of Rehabilitation Sciences								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	419401	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O				
1.1.007	419402	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	0	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 University 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.			
1.1.008	419403	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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1. Page 1345 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4194 SHP / Division Of Rehabilitation Sciences								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	419404	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.023	419405	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.				
1.1.040	419406	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
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PM - Permanent
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Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



STATE OF TEXAS Records Retention Schedule APPROVED

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1. Page 1346 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4194 SHP / Division Of Rehabilitation Sciences								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	419407	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
1.1.063	419408	<p>Staff Meeting Minutes And Notes</p> <p>Minutes or notes, and supporting documentation taken at internal agency staff meetings.</p>	1	0	1					
1.1.065	419409	<p>Reports and Studies (Non-Fiscal) - Raw Data</p> <p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>	AV	0	AV	<p>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.</p>				
1.1.067	419410	<p>Reports and Studies (Non-Fiscal)</p> <p>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.</p>	3	0	3	<p>O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.</p>				

Retention Codes (Field 7)		Archival Codes (Field 8)
AC - After Closed, Terminated, Completion, Expiration, Settled	CE - Calendar Year End	I - Retain in Archives
AV - Administrative Value	FE - Fiscal Year End	O - Review Required Before Disposal
	LA - Life Of Asset	
	MO - Months	
	PM - Permanent	
	US - Until Superseded	



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4194 SHP / Division Of Rehabilitation Sciences								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	419411	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
1.3.001	419412	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	419413	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.4.006	419414	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4194 SHP / Division Of Rehabilitation Sciences								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total					
3.4.007	419415	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.5.006	419416	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	0	FE+3					
4.7	419417	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				
4.7	419418	Grant And Contract Proposals Log Documents receipt, approval, and assignment of grants, contracts, and agreements.	FE+3	0	FE+3					
4.7	419419	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4195 SOM / Cancer Center / Clinical								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	419501	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.			
1.1.007	419502	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	0	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 University 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.			
1.1.008	419503	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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1. Page 1351 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4195 SOM / Cancer Center / Clinical								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	419504	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	419505	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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1. Page 1352 of 1402

2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4195 SOM / Cancer Center / Clinical								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total	9. Remarks				
1.1.063	419506	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.3.001	419507	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).			
1.3.002	419508	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
3.4.006	419509	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4		40 TAC 815.106(i).			
3.4.007	419510	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4195 SOM / Cancer Center / Clinical								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.7	419511	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+2	13	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				
4.7	419512	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+1	3	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4196 Center For Addiction Research								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1	419601	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.			
1.1.007	419602	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	0	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 University 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.			
1.1.008	419603	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4196 Center For Addiction Research								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	419604	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.057	419605	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4196 Center For Addiction Research								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.063	419606	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
3.4.007	419607	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.7	419608	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+15	0	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				

Retention Codes (Field 7)

AC - After Closed, Terminated, Completion, Expiration, Settled
AV - Administrative Value

CE - Calendar Year End
FE - Fiscal Year End

LA - Life Of Asset
MO - Months

PM - Permanent
US - Until Superseded

Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4198 HPLA / Office of County Affairs								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	419804	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.023	419805	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US	0	US	I	Major administrative units of senior leadership: Until superseded then transfer to University Archives. Departments below senior leadership: Until superseded.			
1.1.024	419806	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	0	AC+3	O	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.			
1.1.038	419807	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3		AC = After completion of survey. SEE item number 1.1.067 for summary reports compiled from customer surveys.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4198 HPLA / Office of County Affairs								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.040	419808	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				
1.1.043	419809	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					
1.1.057	419810	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4198 HPLA / Office of County Affairs								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.063	419811	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.1.064	419812	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	0	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.			
1.1.065	419813	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.			
1.1.067	419814	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.			
1.1.068	419815	Reports on Performance Measures Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC+6	0	AC+6		AC = September 1 of odd-numbered calendar years.			
1.1.069	419816	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	0	1		CAUTION: SEE item number 1.1.064.			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4198 HPLA / Office of County Affairs								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	419817	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
1.3.001	419818	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	419819	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4198 HPLA / Office of County Affairs								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
2.1.009	419820	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	0	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.				
2.2.016	419821	Software Registrations, Warranties And License Agreements	LA+3	0	LA+3					
3.4.006	419822	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	419823	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4198 HPLA / Office of County Affairs								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.1.002	419824	Billing Detail Provides itemized billing record for services rendered.	FE+1	8	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.				
4.5.002	419825	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
5.1	419826	Performance Agreements This series provides a record of Personal/Professional Services Contracts between the institution and independent contractors for professional, specialized, educational, or creative services. The contracts are for a one-time performance of services or for services provided on a continuing basis. This series may include but is not limited to: the performance agreement or contract, negotiation documentation, amendments, scope of work, terms and conditions, billing and payment documentation, and related documentation and correspondence.	AC+6	0	AC+6	AC = After completion of agreement.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4199 Office of Regulated Non-Clinical Studies								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	419901	Special Lectures This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on catering arrangements; news releases; recordings and transcripts; photographs; and related documentation and correspondence.	CE+5	0	CE+5	O				
1.1.002	419902	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+10	0	AC+10		AC = After close of sponsored research study. Retention is based on department policy.			
1.1.007	419903	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	0	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 University 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.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4199 Office of Regulated Non-Clinical Studies								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.008	419904	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	0	2					
1.1.013	419905	Calendars, Appointment Books 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	0	CE+1	O				
1.1.023	419906	Organization Charts Reflects the organizational structure of UTMB and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of the departments and program areas by name and function.	US+10	0	US+10	I				
1.1.040	419907	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4199 Office of Regulated Non-Clinical Studies								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.043	419908	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	AC+10	0	AC+10	AC = After close of sponsored research study. Retention is based on department policy.				
1.1.057	419909	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.067	419910	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4199 Office of Regulated Non-Clinical Studies								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	419911	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+10	0	AC+10	O AC = After close of sponsored research study. Retention is based on department policy.				
1.2.003	419912	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	0	AC+1	AC = Discontinuance of use of form.				
2.2.013	419913	Quality Assurance Records / Regulated Non-Clinical Studies 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 regulated non-clinical studies.	AC+10	0	AC+10	AC = After close of sponsored research study. Retention is based on department policy.				
3.1.027	419914	Training and Educational Achievement Records (Individual) Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC+10	0	AC+10	AC = After close of sponsored research study. Retention is based on department policy.				
3.4.006	419915	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				

Retention Codes (Field 7)

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Archival Codes (Field 8)

I - Retain in Archives
 O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4199 Office of Regulated Non-Clinical Studies								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.4.007	419916	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.5.002	419917	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				
5.4	419918	Equipment Descriptions and Specifications - Risk Management / High Containment Series documents the operation, maintenance, service and repair of institutional equipment. Records may include but are not limited to: purchase orders, lease agreements, warranties, instructions and operating manuals, vendor statements, service contracts, charge call bills, fax activity reports, service logs, invoices for equipment repair, purchase request forms, and memoranda.	AC+10	0	AC+10	AC = After close of sponsored research study. Retention is based on department policy.				
	419919	Medical Logs Medical logs in this records series may include but are not limited to: patient information, appointment, admission, transport, dispatch, census, discharge, patient photo, type of service rendered, equipment freezer, master schedule sheets / research studies, etc.	AC+10	0	AC+10	AC = After close of sponsored research study. Retention is based on department policy.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4200 SOM / Sealy Center For Environmental Health And Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	420001	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	0	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 University 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.				
1.1.008	420002	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4200 SOM / Sealy Center For Environmental Health And Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	420003	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	420004	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4200 SOM / Sealy Center For Environmental Health And Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
3.4.006	420005	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	420006	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE	3	FE+3					
4.1	420007	Service Center Business Plan A plan for providing specialized service to the University community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, approximate mix of customers, and a description of the billing mechanism.	FE+7	0	FE+7					
4.1.001	420008	Accounts Payable Information This series documents an agency's expenditures and purchases. Records may include but are not limited to: departmental purchase orders, contract release orders, balance sheets, bills, invoices, invoice vouchers, journal voucher/entry forms, and related documentation and correspondence.	FE	9	FE+9		UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.			

Retention Codes (Field 7)

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Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4200 SOM / Sealy Center For Environmental Health And Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total				9. Remarks	
4.1.002	420009	Billing Detail Provides itemized billing record for services rendered.	FE+9	0	FE+9	<p>UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.</p> <p>CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.</p>				
4.7	420010	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+1	3	AC+4	<p>AC = Term of grant.</p> <p>CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.</p>				

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AV - Administrative Value

CE - Calendar Year End
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Archival Codes (Field 8)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4201 AS / Educational Affairs								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	420104	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	420105	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4202 Interprofessional Education								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	420204	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	0	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 University 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.				
1.1.008	420205	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4202 Interprofessional Education								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.013	420206	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.038	420207	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3		AC = After completion of survey. SEE item number 1.1.067 for summary reports compiled from customer surveys.			
1.1.040	420208	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4202 Interprofessional Education								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	420209	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				
1.1.065	420210	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	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.				
1.1.067	420211	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3	O ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O.				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4202 Interprofessional Education								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.3.001	420212	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).				
1.3.002	420213	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
	420214	Course Contents / Syllabi This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AC+7	0	AC+7	AC = After term in which the course is taught. Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4202 Interprofessional Education								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
	420215	Honors / Awards / Eligibility And History This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. The series may include but is not limited to: eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases.	PM	0	PM					
	420216	Scholarship Applications -- Not Awarded A record of students who have applied for departmental scholarships and who have not been awarded scholarship funds.	AC+2	0	AC+2	AC = After completion of application process.				
	420217	Scholarships Awarded by Department / Selection Records A record of recipients of departmentally-administered scholarship funds (not administered by University Financial Aid Office). May include application materials for students receiving the scholarships; forms rating the applicants; award notification letters, etc	AC+6	0	AC+6	AC = After award.				

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2. Agency Code **723** 3. Agency **THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON**
RMAN: 4203 SOM / Internal Medicine / Division of Pulmonary and Critical Care And Sleep Medicine

4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number
			Agency	Storage	Total				
1.1	420301	Accreditation Records This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+3	0	US+3	O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention. CAUTION: Accreditation records have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the accreditation.		
1.1	420302	Special Lectures This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on catering arrangements; news releases; recordings and transcripts; photographs; and related documentation and correspondence.	CE+5	0	CE+5	O			

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4203 SOM / Internal Medicine / Division of Pulmonary and Critical Care And Sleep Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	420303	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	0	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 University 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.				
1.1.008	420304	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

Retention Codes (Field 7)

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AV - Administrative Value

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Archival Codes (Field 8)

I - Retain in Archives
O - Review Required Before Disposal



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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4203 SOM / Internal Medicine / Division of Pulmonary and Critical Care And Sleep Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	420305	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.057	420306	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).				

Retention Codes (Field 7) AC - After Closed, Terminated, Completion, Expiration, Settled AV - Administrative Value	CE - Calendar Year End FE - Fiscal Year End	LA - Life Of Asset MO - Months	PM - Permanent US - Until Superseded	Archival Codes (Field 8) I - Retain in Archives O - Review Required Before Disposal
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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4203 SOM / Internal Medicine / Division of Pulmonary and Critical Care And Sleep Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.070	420307	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	0	AC+3	O AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.				
3.1.014	420308	Employment Selection Records May include but not be limited to: 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	0	2	29 CFR 1602.49(a) [State Universities]. CAUTION: Does not include criminal history checks. SEE item number 3.1.026.				
3.3.020	420309	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1					
3.4.006	420310	Time Cards and Time Sheets A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	420311	Time Off and/or Sick Leave Requests This records series may include but not be limited to Leave Request Forms and other supporting documentation.	FE+3	0	FE+3					
4.5.002	420312	Internal Fiscal Management Reports Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4203 SOM / Internal Medicine / Division of Pulmonary and Critical Care And Sleep Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
4.7	420313	Grant And Contract Proposals (Not Awarded) This records series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded.	AC+2	0	AC+2	AC = After notification.				
4.7	420314	Grant or Contract Records Which Include NIH or Industry Sponsored Clinical Trials / Drug Studies This records series consists of administrative as well as research data and documentation gathered or created in the course of a clinical trial. May include but is not limited to: contract or grant, subject enrollment logs, drug accountability logs, source documentation, case report forms, study protocol and amendments, informed consent documents, FDA forms (Form 1571, Conflict of Interest disclosure), adverse event reports, serious adverse events reports, Investigator licenses and CVs, other documentation relating to study protocols.	AC+5	10	AC+15	AC = Close of study. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement.				
4.7	420315	Grants, Federal And Other Sponsored Grants And Contracts This records series consists of any of the following sponsored grants and contracts that have been awarded: federal, state, local, Industry (non-clinical trials or regulated research), and Foundation grants and contracts. Records may include but are not limited to: award letter/notice, proposal, protocols, correspondence, equipment inventory (final), effort certification, reports - including final report, etc.	AC+4	0	AC+4	AC = Term of grant. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with individual guidelines of the grant or cooperative agreement. Federal grant records should comply with the record retention requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Foundation grants have individual guidelines for retention and must be retained in accordance with individual guidelines of the Foundation grant.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4203 SOM / Internal Medicine / Division of Pulmonary and Critical Care And Sleep Medicine								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
5.2.008	420316	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.	LA+3	0	LA+3					
5.4.008	420317	Hazard Communication Plans	US+5	0	US+5	Texas Health and Safety Code, 502.009(g).				
5.4.009	420318	Workplace Chemical Lists	30	0	30	Texas Health and Safety Code, 502.005(d).				
5.4.010	420319	Material Safety Data Sheets	AC	0	AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				
	420320	Physicians In Training Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. Records may include but are not limited to: evaluations, letters of recommendation, contract renewals for training and employment, Certification of Residency, completion of resident program, and related correspondence.	AC+5	45	AC+50	AC = Completion of training.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4205 Primary Care Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.007	420501	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	0	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 University 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.				
1.1.008	420502	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	0	2	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4205 Primary Care Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.013	420503	Calendars, Appointment Books 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	0	CE+1	O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.				
1.1.040	420504	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.				

Retention Codes (Field 7)

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4205 Primary Care Services								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1.057	420505	<p>Transitory Information</p> <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; 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	0	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).</p>				
3.4.006	420506	<p>Time Cards and Time Sheets</p> <p>A record of the number of hours worked and the number of hours taken as leave, may include Time Adjustment Forms as required by I.H.O.P. 3.7.1.</p>	FE+4	0	FE+4	40 TAC 815.106(i).				
3.4.007	420507	<p>Time Off and/or Sick Leave Requests</p> <p>This records series may include but not be limited to Leave Request Forms and other supporting documentation.</p>	FE+3	0	FE+3					
4.5.002	420508	<p>Internal Fiscal Management Reports</p> <p>Includes agency monthly budget reports to monitor and track expenses. This records series may include but is not limited to: worksheets used to check expenses for legitimacy and accuracy, monthly reports, and signed verifications.</p>	FE+3	0	FE+3	Monthly reconciliation and approval of expenses required by internal audit.				

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2. Agency Code 723		3. Agency THE UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON RMAN: 4206 AS / Academy Of Master Teachers								
4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC Amend Number		
			Agency	Storage	Total	9. Remarks				
1.1	420601	Committee Election and Appointment Records This series documents the appointment to and the election of faculty to committees. This series may include but is not limited to: ballots, tabulations, letters of appointment, committee membership rosters, and related documentation and correspondence.	AV	0	AV					
1.1	420602	Events Administration Records This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	FE+3	0	FE+3	O	ARCHIVES NOTE: Maintain for FE+3 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention.			
1.1	420603	Gift Records Or Donor Files This series documents potential or realized private, corporate, or public agency funding to the institution, including endowments, gifts, donor records and trusts. This series may include but is not limited to: award guidelines; letters and agreements of gifts; amounts of donations received; names of donors; conditions placed on donations; copies of bequest instruments and wills from individuals or estates; gift / pledge transmittal forms; solicitation material; acknowledgement letters; copies of checks or securities documents; financial statements and reports, including records of fund disbursements; and related documentation and correspondence.	PM	0	PM	I	Security is open with restrictions.			

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			Agency	Storage	Total					
1.1	420604	Meeting Agenda and Minutes - Committee A record of actions and transactions taken by University ad-hoc committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, etc.	6	0	6	O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.			
1.1	420605	Photographs And Negatives - Historically Significant Documents the collection of photographs or negatives created by or for an agency. Includes events that document the agency's organization, special ceremonies, occasions, events and facilities. May include commercially available material.	AV	0	AV	I				
1.1.007	420606	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	0	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 University 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.			
1.1.008	420607	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	0	2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			

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4. Records Series Item No.	5. Agency Item Number	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC Amend Number	
			Agency	Storage	Total					
1.1.011	420608	Executive Orders Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.	US+3	0	US+3	I				
1.1.013	420609	Calendars, Appointment Books 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	0	CE+1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. 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.			
1.1.038	420610	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3	0	AC+3		AC = After completion of survey. SEE item number 1.1.067 for summary reports compiled from customer surveys.			
1.1.040	420611	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC = Termination of service at the university for senior leadership, (president, provost, and vice presidents). Departments below senior leadership: Until superseded or no longer needed for reference.			

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			Agency	Storage	Total					
1.1.043	420612	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. This records series may include but is not be limited to new employee orientation sessions, agendas, sign-in rosters and related documentation and correspondence.	US+1	0	US+1					
1.1.055	420613	Strategic Plans Information resources and operational strategic plans prepared in accordance with 2054.095 and 2056.002, Government Code.	AC+6	0	AC+6	I	AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.			
1.1.057	420614	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC	0	AC		AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).			

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			Agency	Storage	Total	9. Remarks	O			
1.1.063	420615	Staff Meeting Minutes And Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	0	1					
1.3.001	420616	State Publications One copy of each state publication as defined on page xi of the introduction 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	0	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).			
1.3.002	420617	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O				
4.2.001	420618	Cash Deposit Vouchers Cash deposit slips.	FE+3	0	FE+3					

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4.2.005	420619	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+9	0	FE+9	UTMB policy based on requirements for auditing of federal grant recipients and federal cost report guidelines for hospitals receiving Medicare reimbursement. Currently data needed to support these requirements are co-mingled with data from non-federal sources. Until a technological solution exists that allows UTMB to parse out the data based upon funding sources, UTMB will need to keep all data within this record series.				
	420620	Honors / Awards / Eligibility And History This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. The series may include but is not limited to: eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases.	PM	0	PM					
	420621	Honors / Awards / Supporting Documentation Records that document the process of selecting honors and award winners. Records may include but are not limited to: applications, nomination letters, recommendations, letters of award notification or denial, letters accepting or declining awards, vote tallies, transcripts, CV's, essays, course evaluations, ranking sheets, and related documentation and correspondence.	FE+3	0	FE+3					

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