



July 14, 2014
Ms. Cindy Ashlock
Assistant to the President
Midwestern State University
3410 Taft Blvd.
Wichita Falls, TX 76308-2099

RE: Agency records retention schedule approved for use

Dear Ms. Ashlock:

Your agency's records retention schedule is approved for use as of July 7, 2014. 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 Please ensure all old copies of the schedule are superseded with this recertified copy.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 triennially thereafter. The deadline for submission of your schedule for its next recertification is the last working day of **July 2017**.

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, Michael Reagor, at 512-463-5494 or mreagor@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,

Craig Kelso
Director and State Records Administrator

cc: State Auditor, State Archivist, Jesse W. Rogers

State and Local
Records Management

P.O. Box 12927
Austin, Texas
78711.2927

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Austin, Texas
78756

www.tsl.texas.gov

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*Preserving yesterday,
informing today,
inspiring tomorrow.*

R01.735/735



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 735

Agency Name Midwestern State University

(Check one)

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

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

(Check one)

- Agency Head
Records Management Officer

Signature Cindy Ashlock

Name (Print or type) Cindy Ashlock

Date May 10, 2013

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. Sidewick, Name (Print or type)

Date 07-07-14

Cert/Recert No. 5 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.





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SLR 105

Form SLR 105C must accompany this form.

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2 Agency Code		3 Agency Name		7 Retention Period			8 Archival	10	11
735		Midwestern State University		Agency	Storage	Total	9 Remarks	106 No	TSLAC ONLY Amend No
4 Records Series Item No	5 Agency Item No	6 Record Series Title							
1.0.000		Administrative Records							
1.1.000		General – Administrative Records							
1.1.002	001	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		AC = Publication or release of final audit findings. The State Auditor's Office retains any copies of its audits performed on Texas state agencies.		
1.1.004	002	Legislative Appropriation Requests: Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC+6		AC+6	I	AC = September 1 of odd-numbered 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 documentations submitted to the Legislative Budget Board are archival.		
1.1.006	003	Complaint Records: Complaints received by an 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.		

Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled
AV – Administrative Value

CE – Calendar Year End
FE – Fiscal Year End
LA – Life of Asset
MO – Months

PM – Permanent
US – Until Superseded

Archival Codes (Field 8)

I – Transfer to University Archives
O – Review by University Archivist



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2 Agency Code	735	3 Agency Name	Midwestern State University					
4 Records Series Item No	5 Agency Item No	6 Record Series Title	7 Retention Period			8 Archival	10	11
			Agency	Storage	Total			

1.1.007	004	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.	3		3	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 Archivist when these records have met their retention periods. CAUTION: This record 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.		
1.1.008	005	Correspondence – General: Non-administrative incoming/outgoing 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	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.		
1.1.010	006	Directives: Any document that officially initiates, rescinds, or amends general office procedures.	US+1		US+1			

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2 Agency Code 735		3 Agency Name Midwestern State University								
4	5	6			7			8	10	11
Records Series Item No	Agency Item No	Record Series Title			Agency	Storage	Total	9	106 No	TSLAC ONLY Amend No
								Remarks		

1.1.011	007	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		US+3	I			
1.1.013	008	Calendars, Appointment and Itinerary Records: Calendars, appointment books or programs, and scheduling or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries and other activities of agency officials or employees.	CE+1		CE+1	O	<p>ARCHIVES NOTE: Only the calendars, appointments, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archivist 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>		

Retention Codes (Field 7)						Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Transfer to University Archives					
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2 Agency Code 735		3 Agency Name Midwestern State University							
4 Records Series Item No	5 Agency Item No	6 Record Series Title	7 Retention Period			8 Archival	10	11	
			Agency	Storage	Total	9 Remarks	106 No	TSLAC ONLY Amend No	

1.1.014	009	Legal Opinions and Advice: From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV		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		
1.1.019	010	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		2	O		
1.1.020	011	Public Information Requests – Not Exempted: Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code).	AC+1		AC+1	AC = Date request fulfilled.		
1.1.021	012	Public Information Requests – Exempted: Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chap 552, Govt Code).	AC+2		AC+2	AC = Date of notification that records are exempt.		
1.1.023	013	Organization Charts	US		US	I		

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2 Agency Code 735		3 Agency Name Midwestern State University								
4 Records Series Item No	5 Agency Item No	6 Record Series Title	7 Retention Period			8 Archival	10	11		
			Agency	Storage	Total	9 Remarks	106 No	TSLAC ONLY Amend No		

1.1.024	014	Plans and Planning Records: Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3		AC+3	O AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.		
1.1.026	015	Texas Register Submissions: Copies of all proposed, withdrawn, emergency, and adopted rules; open meetings notices; or any other documents required by law to be submitted to the Texas Register.	AC+1		AC+1	AC = Date of publication in the Texas Register.		
1.1.038	016	Customer Surveys: Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3		AC+3	SEE item number 1.1.067 for summary reports compiled from customer surveys.		
1.1.040	017	Speeches, Papers and Presentations: Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC		AC	O AC = End of term in office or termination of service in a state position.		
1.1.041	018	Suggestion System Records: Suggestions submitted by agency personnel and responses.	1		1			

Retention Codes (Field 7)	Archival Codes (Field 8)
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2 Agency Code		3 Agency Name		7 Retention Period			8 Archival		10	11
735		Midwestern State University		Agency	Storage	Total	9 Remarks	106 No	TSLAC ONLY Amend No	
4 Records Series Item No	5 Agency Item No	6 Record Series Title								
1.1.043	019	Training Materials: Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1		US+1					
1.1.048	020	Litigation Files: Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC+1		AC+1	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 Archivist for archival preservation.			
1.1.055	021	Strategic Plans: Information resources and operational strategic plans prepared in accordance with § 2054.095 and § 2056.002, Government Code.	AC+6		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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4 Records Series Item No	5 Agency Item No	6 Record Series Title	7 Retention Period			8 Archival	10	11		
			Agency	Storage	Total				9 Remarks	106 No

1.1.056	022	ADA (Americans with Disabilities Act) Documentation: Self evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act.	3		3	28 CFR 35.105 (c).		
1.1.057	023	<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; telephone message notifications; internal meeting notices; routing slips;</p>	AC		AC	<p>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. Disposal need not be documented through destruction authorizations or in disposition logs.</p>		

Retention Codes (Field 7)						Archival Codes (Field 8)	
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2 Agency Code		3 Agency Name		7 Retention Period			8 Archival		10	11
735		Midwestern State University		Agency	Storage	Total	9 Remarks		106 No	TSLAC ONLY Amend No
4 Records Series Item No	5 Agency Item No	6 Record Series Title								
		incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information.								
1.1.058	024	Meeting Agenda and Minutes: Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.	PM		PM	I	ARCHIVES NOTE: Agency retains permanent record copy. The archival requirement will be met by sending a copy to the University Archives. CAUTION: This records series and item numbers 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency.			
1.1.059	025	Meetings, Certified Agendas or Tape Recordings of Closed: Certified agendas or tape recordings of closed meetings of state boards, commissions, committees, and councils.	AC+2		AC+2		AC = The date of the meeting or completion of pending action involving the meeting, whichever is later. Government Code, 551.104(a). SEE caution comment at item number 1.1.058.			

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2 Agency Code 735		3 Agency Name Midwestern State University								
4 Records Series Item No	5 Agency Item No	6 Record Series Title	7 Retention Period			8 Archival 9 Remarks	10 106 No	11 TSLAC ONLY Amend No		
			Agency	Storage	Total					

1.1.060	026	Meetings, Audio or Videotapes of Open: Audios or videotapes of open meetings of state boards, commissions, committees, and councils.	AC+ 90 days		AC+ 90 days	AC = Official approval of written minutes of the meeting by the governing body of an agency. CAUTION: Minutes of state agencies are permanent records. Audio and videotapes are not permanent media. State agencies may not retain audio or videotapes of the meeting in lieu of written minutes. The proceedings of all meeting of state boards, committees, commissions, and councils must be reduced to writing. SEE caution comment at item number 1.1.058.		
1.1.061	027	Meeting – Notes: Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC + 90 days		AC + 90 days	AC = Approval of the formal written minutes by the governing body. SEE caution comment at item number 1.1.058.		
1.1.062	028	Meetings – Supporting Documentation: Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.	2		2	I SEE caution comment at item number 1.1.058.		

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2 Agency Code 735		3 Agency Name Midwestern State University							
4 Records Series Item No	5 Agency Item No	6 Record Series Title	7 Retention Period			8 Archival 9 Remarks	10	11	
			Agency	Storage	Total				
1.1.063	029	Staff Meeting Minutes and Notes: Minutes or notes, and supporting documentation taken at internal agency staff meetings	1		1				
1.1.064	030	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		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	031	Reports and Studies (Non-Fiscal)-Raw Data: Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV		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.			
1.1.066	032	Reports-Biennial or Annual Agency (Narrative): Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute.	AC+6		AC+6	I AC – September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.			

Retention Codes (Field 7)				Archival Codes (Field 8)			
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2 Agency Code 735		3 Agency Name Midwestern State University								
4 Records Series Item No	5 Agency Item No	6 Record Series Title	7 Retention Period			8 Archival 9 Remarks	10 106 No	11 TSLAC ONLY Amend No		
			Agency	Storage	Total					

1.1.067	033	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		3	O			
1.1.068	034	Reports on Performance Measures: Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC+6		AC+6		AC = September 1 of odd-numbered calendar years.		
1.1.069	035	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		1		CAUTION: SEE item number 1.1.064.		

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4 Records Series Item No	5 Agency Item No	6 Record Series Title	7 Retention Period			8 Archival 9 Remarks	10 106 No	11 TSLAC ONLY Amend No		
			Agency	Storage	Total					

1.1.070	036	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 AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures – Working Files, item number 1.1.071.		
1.1.071	037	Agency Rules, Policies, and Procedures – Working Files: Working files are used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency’s programs, services, or projects.	AC+3		AC+3	O AC = Completion or termination of programs, rules, policies or procedures. SEE ALSO item number 1.1.070.		
1.1.072	038	Public Information Reports: Reports made to Office of Attorney General on an agency’s Public Information Act activities.	2		2			

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Records Series Item No	Agency Item No	Record Series Title			Agency	Storage	Total	Archival	106 No	TSLAC ONLY Amend No
								9 Remarks		

1.2.000		Records Management – Administrative Records							
1.2.001	039	Destruction Authorizations: Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE+3		FE+3				
1.2.003	040	Forms History File: Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	AC+1		AC+1		AC = Discontinuance of use of form.		
1.2.004	041	Forms Inventory: Any periodic listing of all forms used internally or externally by an agency.	US		US				
1.2.005	042	Records Retention Schedule (SLR 105): Agency copy. Includes documentation of certification and approval – forms SLR 105C and/or other forms designated by the State Records Administrator.	US		US		Original is retained by the State and Local Records Management Division, State Library and Archives Commission.		
1.2.006	043	Records Transmittal Forms: Agency copy. Forms indicate records transferred to storage or a transfer of legal custody.	AC+2		AC+2		AC = Date of authorization for destruction or permanent transfer from storage, or transfer to the University Archives, by the agency records management officer.		

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1.2.008	044	Request for Authority to Dispose of State Records (RMD 102): Agency copy.	FE+3		FE+3		Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.		
1.2.010	045	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.	10		10				
1.2.012	046	Records Inventory Worksheets	US		US				
1.2.013	047	Records Control Locator Aids: Includes indexes, card files, shelf lists, registers, guides, etc.	AC		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.		
1.2.014	048	Records Management Plans: Records management plans and similar records that establish the policies and procedures under which records and information are managed by an agency.	US+1		US+1				
1.2.015	049	Disaster Recovery Service Transmittals (RMD 109): Also includes documentation for disaster recovery services provided by other entities.	FE+1		FE+1				

Retention Codes (Field 7)				Archival Codes (Field 8)		
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Transfer to University Archives		
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	O – Review by University Archivist		



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2 Agency Code 735		3 Agency Name Midwestern State University							
4 Records Series Item No	5 Agency Item No	6 Record Series Title	7 Retention Period			8 Archival		10 106 No	11 TSLAC ONLY Amend No
			Agency	Storage	Total	9 Remarks			
1.2.016	050	Disaster Recovery Service Approval Form (RMD 113): Agency copy of form.	AC		AC	AC = Until superseded or termination of service.			

Retention Codes (Field 7)						Archival Codes (Field 8)		
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2 Agency Code	735	3 Agency Name	Midwestern State University					
4 Records Series Item No	5 Agency Item No	6 Record Series Title	7 Retention Period			8 Archival	10	11
			Agency	Storage	Total	9 Remarks		
						106 No	TSLAC ONLY Amend No	

1.3.000		State Publications – Administrative Records						
1.3.001	051	State Publications: One copy of each state publication, defined as information in any format that is produced by the authority of or at the total or partial expense of a state agency or is required to be distributed under law by the agency, and is publicly distributed. The term does not include information the distribution of which is solely limited to contractors with or grantees of the agency, staff persons within the agency or within other government agencies, or members of the public under a request made under the Public Information Act, Government Code, Chapter 552. The term includes but is not limited to: a publication distributed in print; on microform; as audiovisual materials; as interactive media or on electronic external storage device; as an on-line publication; which is an index to other on-line publications; as one or more text, graphic, or other digital files; or as a	AC+2		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				
		user interface to a computer database.							
1.3.002	052	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		AV	O			
2.0.000		Electronic Data Processing Records							
2.1.000		Automated Applications							
2.1.001	053	Processing Files: Machine-readable files used in the creation, utilization, and updating of master files.	AC		AC		AC = Completion of 3 rd 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.		
2.1.002	054	Master Files: Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables or relational databases used by applications or computer programs.	AC		AC		AC = Completion of 3 rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		

Retention Codes (Field 7)						Archival Codes (Field 8)		
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Transfer to University Archives				
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			Agency	Storage	Total			

2.1.007	055	Software Programs: Automated software applications and operating system files including job control language, program listing/source code, etc.	AC		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.		
2.1.008	056	Hardware Documentation: Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC		AC	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.		

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 AV – Administrative Value

CE – Calendar Year End LA – Life of Asset
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			Agency	Storage	Total				

2.1.009	057	<p>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.</p>	AC		AC	<p>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.</p> <p>CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.</p>		
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Retention Codes (Field 7)

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 AV – Administrative Value

CE – Calendar Year End
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 MO – Months

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Archival Codes (Field 8)

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			Agency	Storage	Total					

2.1.010	058	Audit Trail Records: Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC		AC	AC = All audit requirements have been met.		
2.1.011	059	Finding Aids, Indexes, and Tracking Systems: Automated indexes, lists, registers, and other finding aids used to provide access to records.	AC		AC	AC = The related records have been destroyed. CAUTION: These records must carry the same retention period and archival code of the records they support.		
2.2.000		Computer Operations and Technical Support						
2.2.001	060	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		AV			
2.2.002	061	Chargeback Records to Data Processing Services Users: Records used to document, calculate costs, and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.	FE+3		FE+3			

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4 Records Series Item No	5 Agency Item No	6 Record Series Title								
2.2.004	062	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		3 MO					
2.2.010	063	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		US+3		CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number 2.1.009.			
2.2.011	064	Batch Data Entry Control Records: Forms and logs used to reconcile batches submitted for processing against batches received and processed.	AC		AC		AC = When reconciliation confirmed.			
2.2.012	065	Output Records for Computer Production: Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV		AV					

Retention Codes (Field 7)

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			Agency	Storage	Total					

2.2.013	066	Quality Assurance Records: Information verifying the quality of system, hardware, or software operations including records of errors or failures and the loss of data resulting from such failures, documentation of abnormal termination and of error free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy.	AC		AC	AC = No longer needed as an audit trail for any records modified.		
2.2.014	067	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 services.	AV		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	068	History Files – Web Sites: A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.	AV		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).		

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			Agency	Storage	Total				106 No

2.2.016	069	Software Registrations, Warranties and License Agreements	LA+3		LA+3			
3.0.000		Personnel Records						
3.1.000		Employee – Personnel Records						
3.1.001	070	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		2	29 CFR 1602.49 (a)		
3.1.002	071	Applications for Employment – Hired: Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedure, or in the employment advertisement.	AC+5		AC+5	AC = Termination of employment.		
3.1.006	072	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 supervisory level.	AC+3		AC+3	AC = Termination of counseling.		

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			Agency	Storage	Total					
3.1.011	073	Employee Insurance Records: Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	AC		AC	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.				
3.1.012	074	Employment Opportunity Announcements: Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.	2		2	29 CFR 1602.49 (a)				
3.1.013	075	Employment Contracts	AC+4		AC+4	AC = Expiration or termination of the contract according to its terms.				
3.1.014	076	Employment Selection Records: Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving record and previous injury checks, pre-employment physical examinations, pre-employment drug screening test results, polygraph examination results, and all other records that document the selection process.	2		2	29 CFR 1602.49(a) CAUTION: Does not include criminal history checks. SEE item number 3.1.026.				

Retention Codes (Field 7)						Archival Codes (Field 8)	
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4 Records Series Item No	5 Agency Item No	6 Record Series Title	7 Retention Period			8 Archival 9 Remarks	10 106 No	11 TSLAC ONLY Amend No		
			Agency	Storage	Total					

3.1.018	077	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.		
3.1.019	078	Performance Appraisals	2		2	29 CFR 1620.32(c).		
3.1.020	079	Personnel Corrective Action Documentation: Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	AC+5		AC+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 the 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)			
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4 Records Series Item No	5 Agency Item No	6 Record Series Title	7 Retention Period			9 Remarks		10	11	
			Agency	Storage	Total			106 No	TSLAC ONLY Amend No	

3.1.021	080	Personnel Disciplinary Action Documentation: Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force, and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC+5		AC+5	AC = Termination of employment.		
3.1.022	081	Personnel Information or Action Forms: Forms or similar records used to create or change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment	2		2	29 CFR 1602.49(a).		

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			Agency	Storage	Total				9 Remarks

3.1.023	082	Position/Job Descriptions: Job descriptions, including all associated task or skill statements, for positions in an agency.	AC+4		AC+4	AC = Until superseded or job eliminated. 40 TAC 815.106 (i).		
3.1.024	083	Physical Examinations/Medical Reports: Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.	AC+2		AC+2	AC = Until superseded or termination of employment. CAUTION: Does not include pre-employment physical examinations. SEE item number 3.1.014.		
3.1.026	084	Criminal History Checks: Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC		AC	AC = The criminal history record has served the immediate purpose for which it was obtained. CAUTION: An agency that is authorized to obtain criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.		
3.1.027	085	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.		

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			Agency	Storage	Total					

3.1.029	086	Employment Eligibility, Documentation or Verification of: Federal reporting form (INS I-9).	AC+1		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 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	087	Employee Benefits – Other than Insurance: Agency copies of information relating to the selection of available benefit options other than insurance.	AC+2		AC+2	AC = Until superseded or termination of employment. CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.		
3.1.034	088	Resumes – Unsolicited: Retention period applies if an agency replies to the sender of the resume that it will be kept on file should future job openings occur.	AV		AV	SEE item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.		

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3.1.035	089	Performance Bonds: Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency.	AC+4		AC+4	AC = Expiration or termination of the bond according to its terms. CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028.		
3.1.036	090	Apprenticeship Records: Summary of applicant qualifications, evaluation basis for selection or rejection, original applications, job assignments, promotions, separation, layoffs, terminations, compensation records, conditions of work, time records, hours of training provided (separate from labor), minority status, and gender of all selected and rejected applicants.	5		5	29 CFR 30.8(e).		
3.1.037	091	Employee Recognition Records: Awards, incentives, tenure, etc.	AC+5		AC+5	AC = Termination of employment.		
3.1.038	092	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.	US		US	SEE item number 3.3.011. Note: Election under the Public Information Act, Government Code 552.024.		

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			Agency	Storage	Total					
3.1.039	093	Ombudsman Records: Consultation records, notes, letters, memos, emails, reports and other documentation.	AC		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.				
3.2.000		Payroll – Personnel Records								
3.2.001	094	Employee Deduction Authorizations: Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC+4		AC+4	AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.				
3.2.002	095	Employee Earning Records	4		4	40 TAC 815.106(i).				
3.2.003	096	Federal Tax Records: Includes FICA records.	AC+4		AC+4	AC = Tax due date, date claim is filed, or date tax is paid whichever is later. 26 CFR 31.6001-1(e)(2).				
3.2.004	097	Income Adjustment Authorizations: Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.	2		2	29 CFR 516.6(c).				

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4 Records Series Item No	5 Agency Item No	6 Record Series Title	7 Retention Period			8 Archival	10	11	
3.2.005	098	W-4 Forms: Employer's copy of "Employee's Withholding Exemption Certificate."	AC+4		AC+4	AC = Until superseded, obsolete, or upon separation of employee. 26 CFR 31.6001-1(e)(2).			
3.2.006	099	Wage Rate Tables	2		2	29 CFR 516.6(a)(2).			
3.2.007	100	Unemployment Compensation Records	AC+5		AC+5	AC = Termination of employment			
3.2.008	101	Direct Deposit Application/Authorizations	US		US				
3.2.009	102	State Deferred Compensation Records	AC+5		AC+5	AC = All accounts with a vendor or vendors for the individual participant have been closed.			
3.2.010	103	Human Resources Information Systems (HRIS) Reports: Includes supporting documentation.	AC+4		AC+4	AC = Date report verified			
3.3.000		Personnel Administration – Personnel Records							
3.3.001	104	Affirmative Action Plans: Affirmative action plans for both regular employees and apprenticeship programs.	5		5	29 CFR 30.8(e) for apprenticeship plans.			
3.3.004	105	Benefit Plans: Employee benefit plans such as pension, life, health, and disability insurance, deferred compensation, etc., including amendments.	US+1		US+1	29 CFR 1627.3(b)(2)			
3.3.010	106	Labor Statistics Reports: Reports providing statistical information on labor force.	3		3				

Retention Codes (Field 7)

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AV – Administrative Value

CE – Calendar Year End
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LA – Life of Asset
MO – Months

PM – Permanent
US – Until Superseded

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4 Records Series Item No	5 Agency Item No	6 Record Series Title	7 Retention Period			8 Archival		10 106 No	11 TSLAC ONLY Amend No
			Agency	Storage	Total	9 Remarks			

3.3.011	107	Former Employee Verification Records: Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC + 75		AC + 75	AC = Termination of employment.		
3.3.015	108	Position/Job Classification Review File: Records relating to review and monitoring of job classifications within an agency.	US+3		US+3			
3.3.020	109	Work Schedules/Assignments: Work, duty, shift, crew, or case schedules, rosters, or assignments.	1		1			
3.3.022	110	Texas Workforce Commission (TWC) Reports: Reports to the agency from TWC pertaining to employees.	3		3			
3.3.023	111	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			

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3.3.024	112	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		US+3			
3.3.025	113	Job Procedure Records: Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US+3		US+3			
3.3.026	114	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		US+3			
3.3.027	115	Aptitude and Skills Tests: Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US+2		US+2	29 CFR 1602.49. CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.		

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3.3.028	116	Aptitude and Skills Tests (Test Papers): Aptitude and skills test papers of job applicants or of current personnel taking a test for promotion or transfer.	2		2	29 CFR 1602.49.		
3.3.029	117	Aptitude and Skills Tests (Validation Records): Records of the validation of aptitude and skills tests.	AC+2		AC+2	AC = As long as the test is used by an agency. 29 CFR 1602.49.		
3.3.030	118	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.		
3.3.031	119	EEO Reports and Supporting Documentation: Includes documentation used to complete EEO reports.	3		3	29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50.		
3.3.032	120	Equal Pay Records: Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the federal Equal Pay Act.	3		3	29 CFR 1620.32.		

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4 Records Series Item No	5 Agency Item No	6 Record Series Title	7 Retention Period			9 Remarks		106 No	TSLAC ONLY Amend No	
			Agency	Storage	Total					

3.4.000	121	Time and Leave – Personnel Records	FE+3	FE+3			
3.4.001	121	Accumulated Leave Adjustment Requests: Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances on August 31, to correct errors on leave accumulation, and to close out accounts on separated employees.	FE+3	FE+3			
3.4.002	122	Leave Status Reports: Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE+3	FE+3			
3.4.003	123	Less Than Full-Time Worked Reports: Dates and hours.	4	4	40 TAC 815.106 (i).		
3.4.004	124	Overtime Authorizations	2	2			
3.4.005	125	Overtime Schedules	2	2			
3.4.006	126	Time Cards and Time Sheets	4	4	40 TAC 815.106(i).		
3.4.007	127	Time Off and/or Sick Leave Requests	FE+3	FE+3			
3.4.008	128	Sick Leave Pool Documentation: Requests submitted, approvals, number of hours transferred in and out, etc.	FE+3	FE+3			

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			Agency	Storage	Total					

4.0.000		Fiscal Records							
4.1.000		Worksheets, Detail Information on Financial Event or Transaction							
4.1.001	129	Accounts Payable Information	FE+3		FE+3				
4.1.002	130	Billing Detail	FE+3		FE+3	CAUTION: Does not include long distance telephone billing detail. SEE item number 5.5.001 and 5.5.007.			
4.1.003	131	Canceled Checks/Stubs/Warrants/Drafts	FE+3		FE+3				
4.1.004	132	Encumbrance Detail	FE+3		FE+3				
4.1.005	133	Inventory and Other Cost Files: Production, job, labor, quotes, pricing, specifications,etc.	FE+3		FE+3				
4.1.006	134	Investment Transaction Files	FE+3		FE+3				
4.1.007	135	Transfers or Budget Revisions: Transfers or adjustments to budgets.	FE+3		FE+3				
4.1.008	136	Electronic Fund Transfers: Direct Deposit Registers.	FE+3		FE+3				
4.2.000		Documents of Original Entry							
4.2.001	137	Cash Deposit Vouchers: Cash deposit slips.	FE+3		FE+3				
4.2.002	138	Cash Receipts: Includes receipts for fees (permits, licenses, renewals,etc.)	FE+3		FE+3				
4.2.003	139	Daily Cash Receipts Logs	FE+3		FE+3				

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4.2.004	140	Encumbrance Vouchers: Orders, statements, change orders, etc.	FE+3		FE+3				
4.2.005	141	Purchase Vouchers: Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+3		FE+3				
4.2.006	142	General Journal Vouchers	FE+3		FE+3				
4.2.007	143	Expenditure Vouchers: Travel, payroll, etc.	FE+3		FE+3				
4.3.000		Journals or Registers – Fiscal Records							
4.3.001	144	Sales Journals or Registers	FE+3		FE+3				
4.3.002	145	Receipts Journals or Registers	FE+3		FE+3				
4.3.003	146	Expenditures Journals or Registers	FE+3		FE+3				
4.4.000		Ledgers – Fiscal Records							
4.4.001	147	General and Subsidiary Ledgers	FE+3		FE+3				
4.4.002	148	Accounts Receivable Ledgers	FE+3		FE+3				
4.4.003	149	Accounts Payable Ledgers	FE+3		FE+3				
4.4.004	150	Employee Savings Bonds Ledgers	FE+3		FE+3				
4.5.000		Reports – Fiscal Records							
4.5.001	151	Worksheets for Preparing Fiscal Reports	FE+3		FE+3				
4.5.002	152	Internal Fiscal Management Reports: Includes agency monthly budget reports.	FE+3		FE+3				

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			Agency	Storage	Total					

4.5.003	153	Annual Financial Reports: Required by General Appropriations Act (100 Day Report).	AC+6		AC+6	AC = September 1 of odd-numbered calendar years.		
4.5.005	154	External Fiscal Reports: Special purpose – i.e. federal financial reports, salary reports, etc. Includes HUB reports.	FE+3		FE+3			
4.5.006	155	Annual Operating Budgets	FE+3		FE+3			
4.5.007	156	USAS Reports – Daily	AC		AC	AC = Receipt and reconciliation of monthly report.		
4.5.008	157	USAS Reports – Monthly	AC		AC	AC = Receipt and reconciliation of annual report.		
4.5.009	158	USAS Reports – Annual	FE+3		FE+3			
4.6.000		Documents Showing Compliance with System of Internal Control						
4.6.001	159	Balancing Records	FE+3		FE+3			
4.6.002	160	Reconciliations	FE+3		FE+3			
4.6.003	161	Cash Counts	FE+3		FE+3			
4.7.000		Other Fiscal Records						
4.7.001	162	Accounting Policies and Procedures Manual	US+3		US+3			
4.7.002	163	Bank Statements	FE+3		FE+3			
4.7.003	164	Returned Checks/Warrants/Drafts (Uncollectable)	AC+3		AC+3	AC = After deemed uncollectible.		
4.7.004	165	Capital Asset Records	LA+3		LA+3			
4.7.005	166	Claim Files	AC+3		AC+3	AC = Resolution of claim.		

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4 Records Series Item No	5 Agency Item No	6 Record Series Title							
4.7.006	167	Comptroller Statements	FE+3		FE+3				
4.7.007	168	Detail Chart of Accounts: One for all accounts in use for a fiscal year.	FE+3		FE+3				
4.7.008	169	Federal Grant Records	AC+3		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.			
4.7.009	170	Fixed Asset Sequential Number Logs	US+3		US+3				
4.7.010	171	Long-Term Liability Records: Bonds, etc.	AC+3		AC+3	AC = Retirement of debt.			
4.7.011	172	Texas Building and Procurement Commission Statements (TBPC): Charge or bill statements received by agencies from the TBPC for services provided.	FE+3		FE+3				
4.7.012	173	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		US+ FE+3				

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5.0.000		Support Services Records						
5.1.000		General – Support Services Records						
5.1.001	174	Contracts and Leases: Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits or publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+4		AC+4	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.		
5.1.003	175	Delivery Reports	2		2			
5.1.004	176	Mail and Telecommunication Listings: Any mailing address, telephone or fax number, or email address records maintained by an agency on its employees or on entities or persons it serves.	US		US			
5.1.005	177	Postage Records: Records and reports of postage expenses, including postal meter usage.	FE+3		FE+3			
5.1.007	178	Requisitions for In-Agency/Inter-Agency/Printing Service: Includes word processing and data processing.	AV		AV			

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5.1.010	179	Licenses and Permits for Non-vehicles: Does not include licenses and permits issued by an agency as part of its legislative mandate.	AC+2		AC+2	AC = Expiration date of license or permit.		
5.1.011	180	Photocopier and Telefax Usage Logs & Reports	AV		AV			
5.1.012	181	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		US+3			
5.1.013	182	Insurance Policies: For vehicles, equipment, etc.	AC+4		AC+4	AC = Expiration or termination of the policy according to its terms.		
5.1.014	183	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		US+1			

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5.1.015	184	Correspondence Tracking Records: Any record created by an agency to tract any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers.	1		1				
5.1.017	186	Contract Log: List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE+3		FE+3				
5.2.000		Facility Management – Support Services							
5.2.001	187	Appraisals – Building or Property	AV		AV	O			
5.2.002	188	Building Construction Project Files: Planning, design, and construction records; accepted and rejected bids; correspondence; etc.	AC+ 10		AC+ 10	O	AC = Completion of project. SEE ALSO item numbers 5.2.003 and 5.2.028.		

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5.2.003	189	Building Plans and Specifications: Includes architectural and engineering drawings, profiles, and blueprints.	LA or AC+2		LA or AC+2	O LA if State Owned. AC = For leased buildings; termination or cancellation of lease. SEE ALSO item numbers 5.2.002 and 5.2.028. ARCHIVES NOTE: Archival review designation is for state-owned buildings only.		
5.2.004	190	Building Space Requests	1		1			
5.2.005	191	Calibration Records (Equipment or Instrument)	10		10			
5.2.006	192	Property Destruction, Certificates of	FE+3		FE+3			
5.2.007	193	Damage Reports: Reports of damage to state property.	FE+3		FE+3			
5.2.008	194	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			

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5.2.009	195	Equipment Inventory Detail Report Forms: Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE+3		FE+3			
5.2.010	196	Equipment Manuals	LA		LA			
5.2.011	197	Equipment Warranties	AC+1		AC+1	AC = Expiration of warranty		
5.2.012	198	Estimate Files (Supply and Repair Cost Estimates)	1		1			
5.2.014	199	Inventory – Annual Physical: Property, equipment, supply verification.	FE+3		FE+3			
5.2.015	200	Inventory, Notices of Equipment Removed From	FE+3		FE+3			
5.2.016	201	Inventory System Update Listings: Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.	AC		AC	AC = Transfer of information into annual listing.		
5.2.017	202	Lost and Stolen Property Reports	FE+3		FE+3			
5.2.018	203	Quality Control Reports	2		2			
5.2.019	204	Service Orders: Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts and remarks.	1		1			

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5.2.020	205	Supply Usage Records	FE+1		FE+1				
5.2.021	206	Surplus Property Sales Reports	FE+3		FE+3				
5.2.022	207	Utility Usage Reports	AV		AV				
5.2.023	208	Year-to-Date Activity (Inventory Listing): Shows additions, changes, transfers, and deletions of information within the inventory system. Data include agency, division, tag number, batch, document, transaction date, location, item code, description, date and cost.	FE+3		FE+3				
5.2.024	209	Material Specifications	AC+2		AC+2		AC = Material is no longer in the agency.		
5.2.025	210	Equipment Descriptions and Specifications: Set by the agency.	AC+2		AC+2		AC = Equipment is no longer in the agency.		
5.2.026	211	Facilities Reservation Logs: Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.	2		2				
5.2.027	212	Space Utilization Reports	AV		AV				
5.2.028	213	Building Construction Contract and Inspection Records: Building construction contracts, surety bonds, and inspection records.	LA + 10		LA + 10		O SEE ALSO item numbers 5.2.002 and 5.2.003.		

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					Agency	Storage	Total	9 Remarks	106 No	TSLAC ONLY Amend No

5.3.000 Purchasing – Support Services Records										
5.3.002	214	Freight Bills Paid	FE+3		FE+3					
5.3.003	215	Freight Claims	AC+2		AC+2		AC = Resolution of claim.			
5.3.004	216	Order – Acknowledgement	AV		AV					
5.3.005	217	Packing Slips	AV		AV					
5.3.007	218	Bid Documentation: Includes bid requirements/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	FE+3		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 numbers 5.1.001 and 5.2.028.			
5.3.008	219	Purchasing Logs: Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE+3		FE+3					
5.3.009	220	Requests for Information: Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC		AC		AC = Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.			

Retention Codes (Field 7)						Archival Codes (Field 8)				
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Transfer to University Archives						
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	O – Review by University Archivist						



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			Agency	Storage	Total				

5.4.000		Risk Management – Support Service Records							
5.4.001	221	Accident Reports and Associated Documentation: Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally on accident frequency.	CE+5		CE+5	29 CFR 1904.33. The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.			
5.4.002	222	Evacuation Plans: Plans for evacuation of agency facilities in cases of emergency.	US		US				
5.4.003	223	Inspection Records: Fire, safety, and other inspection records of agency facilities and equipment.	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.			
5.4.004	224	Fire Orders: Orders issued by Fire Marshal to correct deficiencies in compliance with the fire code.	AC+3		AC+3	AC = Deficiency corrected.			
5.4.007	225	Hazardous Materials Training Records: Records of training given to employees in an agency hazard communications program.	5		5	Texas Health and Safety Code, 502.009 (g).			

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			Agency	Storage	Total			
5.4.008	226	Hazard Communication Plans	US+5		US+5	Texas Health and Safety Code, 502.009(g).		
5.4.009	227	Workplace Chemical Lists	30		30	Texas Health and Safety Code, 502.005(d).		
5.4.010	228	Material Safety Data Sheets	AC		AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.		
5.4.011	229	Visitor Control Registers: Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.	3		3			
5.4.012	230	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.		
5.4.013	231	Disaster Preparedness and Recovery Plans	US		US			
5.5.000		Telecommunications – Support Service Records						
5.5.001	232A	Billing Detail – Telecommunications (Other than TEX-AN): In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE+3		FE+3			

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5.5.002	232B	Long Distance Telephone Logs: Long distance logs created by agencies for internal documentation purposes. Includes any similar logs created for long distance facsimile or electronic transmissions.	AV		AV			
5.5.003	233	Station Activity Reports: Internal listing of incoming/outgoing telephone activity to individual telephone stations.	AV		AV			
5.5.004	234	System Activity Reports: Internal listing of all incoming/outgoing agency telephone activity.	AV		AV			
5.5.007	235	Disputed Call Documentation: Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use.	FE+3		FE+3			
5.6.000		Vehicles – Support Service Records						
5.6.003	238	Inspection Repair and Maintenance Records – Vehicles	LA+1		LA+1			
5.6.004	239	License and Driving Record Checks	AC		AC	AC = Until superseded or until termination of employment.		
5.6.005	240	Vehicle Use Reports: Includes mileage,	FE+3		FE+3			

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			Agency	Storage	Total			
		fuel/oil consumption, passengers carried and other related operational information						
5.6.007	241	Vehicle Titles & Registration	LA		LA			
		Admission and Assessment Records: Applications for admission or readmission; letters or forms evidencing grant or denial of admission, petitions for special admission or readmission; entrance examination reports (ACT, SAT, etc.); TASP score reports or exemption forms; local assessment test reports; residency status forms and oaths; Immigration and Naturalization Service forms; health and immunization reports; GED attainment documentation; and high school or prior college transcripts, transcript waivers, or statements of good standing.				RETENTION NOTE: Transcripts or other documents from institutions in foreign countries may be originals and difficult or impossible for the applicant to replace. The agency may want to return these documents to the student or applicant rather than destroy them. In such circumstances, the director and librarian of the Texas State Library, by authority of the Local Government Code, Section 202.004(a), hereby consents to the return as a permitted exception to the statutory prohibition against the alienation of local government records.		
	243	Transcripts or other admission or assessment documentation received during an admission period that cannot be matched with an application for admission.	AC+ 90 days		AC+ 90 days	AC = End of admission period		
	244	Records of students denied admission or who were admitted but did not register.	AC+ 90 days		AC+ 90 days	AC = Beginning of academic term for which admission denied or granted.		
	245	Records of students who did register.	AC+3		AC+3	AC = Termination of enrollment		

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			Agency	Storage	Total				
	246	Letters of Recommendation: Letters of recommendation or other correspondence to decisions on admission. Academic Records	AC		AC	AC = Until admission or denial of admission.	106 No		
	247	Academic Action Notifications: Copies of documentation notifying students of dismissal, academic probation, etc.	AC+3		AC+3	AC = Termination of enrollment			
	248A	Advanced Placement and Credit Records: Credit Awarded Transfer credit evaluations, national or state standardized test scores (e.g., CLEP, AP, CPS), credit by examination authorizations and reports, military course documentation (e.g., DANTES, USAFI) and evaluations, non-traditional transcripts and credentials, life experience records, requests for advanced credit, and similar documentation used to evaluate and determine award of credit by advanced placement.	AC+3		AC+3	AC = Termination of enrollment			

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			Agency	Storage	Total					

	248B	Advanced Placement and Credit Records: Credit Not Awarded (See description above)	AC+1		AC+1	AC = End of academic year in which decision made		
	249	Course Registration and Status Records - Registration forms, class rosters, and similar records providing information on which courses students are registered for at the beginning of an academic term, including documentation evidencing the conditions under which courses are undertaken (e.g., audit, pass/fail, and credit/no credit authorizations or approvals) or evidencing changes to registration status during the term (e.g., add/drop forms by student or instructor).	AC+1		AC+1	AC = End of academic year		
	250	Degree Plans	AC		AC	AC = Termination of enrollment		
		Grade and Course Credit Records						
	251	Grade sheets submitted by instructors, grade change documentation, advanced credit posting authorizations, and grade rolls or similar input documentation used in posting grades or credit data to transcripts.	AC+5		AC+5	AC = End of academic year in which data posted to transcripts		

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4 Records Series Item No	5 Agency Item No	6 Record Series Title	7 Retention Period			8 Archival	9 Remarks	10	11
	252	Faculty grade books.	AC+1		AC+1	AC = End of academic year			
	253	Copies of grade reports provided to students.	AC+1		AC+1	AC = End of academic year			
	254	Grade appeals or change requests.	AC+1		AC+1	AC = 1 year after decision or change request			
	255	Graduation Applications and Authorizations: Applications for graduation and authorizations certifying completion of degree requirements.	AV		AV	NOTE: AV applies after graduation day.			
	256	Graduation Lists: Lists of students graduating.	PM		PM				
	257	Holds and Encumbrances: Documents used to place (and remove) holds on the release of transcripts or other academic data.	AC		AC	AC = Until released			
	258	Personal Data Update Records: Change of address forms, name change authorizations, and similar source documentation used to update personal data information on transcripts or other student records.	AV		AV	NOTE: AV applies after student record updated. If a transcript or other student record is not updated, the source document providing the amended information must be retained for the same retention period as the record it was meant to update. This record group concerns personal data only.			

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			Agency	Storage	Total				

	259	Transcripts: Transcript, or a record equivalent in function, of the academic achievement of each enrolled student, documenting courses taken, credit granted, grades received, and any degrees or certifications awarded (including any narrative assessments or evaluations prepared in lieu of an assigned grade.	PM		PM			
	260	Withdrawal Authorizations: Authorizations for a student to withdraw from classes after calendar deadlines without academic penalty for acceptable reasons.	AC+3		AC+3	AC = End of academic term in which enrollment terminated.		

Retention Codes (Field 7)

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						106 No	TSLAC ONLY Amend No	

		<p>Financial Aid Application and Award Records: Including (to the extent applicable to specific programs) applications, financial aid need analysis and eligibility forms, financial aid transcripts, selective service registration compliance statements, and any supporting documentation, statements of educational purpose, anti-drug abuse statements, student aid reports, authorizations and award forms, copies of documents submitted by students or parents for verification of student aid application information, and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs.</p>						
	261	Records of recipients – Income Contingent Loan (ICL), Perkins Loan, College Work-Study (CWS), and Supplemental Educational Opportunity Grant (SEOG) Programs.	AC+5		AC+5	AC = Submission of annual report for the award year. By regulation – 34 CFR 673.32(e)(2), 674.19(e)(3)(i), 675.19(c)(2), and 676.19(c)(2).		

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4 Records Series Item No	5 Agency Item No	6 Record Series Title							
	262	Records of recipients – Pell Grant Program	AC+5		AC+5	AC = End of award year. By regulation – 34 CFR 690.82(b)(1).			
	263	Records of recipients – Stafford (formerly Guaranteed Student Loan) and PLUS Programs	AC+5		AC+5	AC = End of the period for which the loan was intended. By regulation – 34 CFR 682.610(d)(1).			
	264	Records of recipients – Health profession and nursing student loan programs [including the Health Education Assistance Loan (HEAL) Program].	AC+5		AC+5	AC = Termination of enrollment as a full-time student. By regulation – 42 CFR 57.215(b), 57.315(a)(2), and 60.56(b).			
	265	Records of recipients – Veterans Administration educational assistance allowances.	AC+3		AC+3	AC = Termination of enrollment. By regulation – 38 CFR 21.4209(f).			
	266	Records of recipients – All other federal or state grant, scholarship, and work-study programs.	AC+5		AC+5	AC = End of award year			
	267	Records of recipients – All other federal or state loan programs.	AC+5		AC+5	AC = End of the period for which the loan was intended			
	268	Records of recipients – All local grant, scholarship, loan, or work study programs.	AC+3		AC+3	AC = End of award period			
	269	Records of those who applied but did not receive financial aid.	AC+1		AC+1	AC = End of academic period for which aid denied			

Retention Codes (Field 7)				Archival Codes (Field 8)		
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		Financial Aid Disbursement and Repayment Records: Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the agency and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans.						
	270	Income Contingent Loan (ICL) and Perkins Loan Programs.	AC+5		AC+5	AC = Date of final repayment or cancellation. By regulation – 34 CFR 673.32(e)(3)(iii) and 674.19(e)(3)(ii).		

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			Agency	Storage	Total					
	271	College Work-Study (CWS) and Supplemental Educational Opportunity Grant (SEOG) Programs.	AC+5		AC+5	AC = Submission of annual report for the award year. By regulation – 34 CFR 675.19(c)(2) and 676.19(c)(2).				
	272	Pell Grant Program	AC+5		AC+5	AC = End of award year. By regulation – 34 CFR 690.82(b)(1)				
	273	Stafford (formerly Guaranteed Student Loan) and PLUS Programs.	AC+5		AC+5	AC = End of the period for which the loan was intended. By regulation – 34 CFR 682.610(d)(1).				
	274	Health profession and nursing student loan programs <i>excluding</i> the Health Education Assistance Loan (HEAL) Program.	AC+5		AC+5	AC = Date of retirement of the loan. By regulation – 42 CFR 57.215(c) and 57.315(a)(3).				
	275	Health Education Assistance Loan (HEAL) Program.	AC+5		AC+5	AC = Termination of enrollment as a full-time student. By regulation – 42 CFR 60.56(b).				
	276	Veterans Administration educational assistance allowances.	AC+3		AC+3	AC = Termination of enrollment. By regulation – 38 CFR 21.4209(f).				
	277	All other federal or state grant, scholarship, or work-study programs.	AC+5		AC+5	AC = End of award year				
	278	Local grant, scholarship, or work-study programs.	AC+3		AC+3	AC = End of award year				
	279	Local loan program.	AC+3		AC+3	AC = Date of final repayment or cancellation				

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	280	All other federal or state loan programs whose funds are administered by agencies other than the university.	AC+5		AC+5	AC = End of the period for which the loan was intended		
	281	Tuition Exemption Records: Applications for and supporting documentation evidencing the grant of tuition exemptions or remissions.	FE+3		FE+3			
		Family Educational Rights and Privacy Act (FERPA) Records						
	282	Access Policies: Written policies and procedures demonstrating how an agency meets the requirements of the Family Educational Rights and Privacy Act of 1974, as amended and federal rules adopted under the act.	US		US			

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	283	Access to Information, Records of: Documentation of requests from and disclosures to the student, to an official of the agency for what the agency has determined to be legitimate educational interests, to a party with written consent from the student, or to a party seeking directory information.	2		2			
	284	Access to Information, Records of: Documentation of requests from and disclosures to any party not included in agency item number 283.	PM		PM	By regulation – 34 CFR 99.32(a)(2).		
	285	Access to Information, Records of: Written consents from the student for information disclosure.	PM		PM			
	286	Access to Information, Records of: Written refusals from the student to the disclosure of directory information, if requests are valid as long as the student is enrolled.	AV		AV	NOTE: AV applies after termination of enrollment.		

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	287	Access to Information, Records of: Written refusals from the student to the disclosure of directory information, if requests must be renewed each academic year or each academic term.	US or AC		US or AC	AC = After termination of enrollment, as applicable.		
	288	Access Waiver Records: Waivers of access by students to confidential letters and confidential statements of recommendation and revocations of such waivers.	AC		AC	AC = For as long as the record to which access waiver documentation applies is maintained.		
	289	Protest of Record Statements: Statements by students commenting on contested information in a student record, or stating why he or she disagrees with the university's decision not to amend a record, or both.	AC		AC	AC = For as long as the record containing the contested information is maintained. By regulation – 34 CFR 99.21(c)(1).		
	290	Record Amendment Requests and Related Documentation: Requests from students to amend student records, notices by the university of denial or consent to amendments, requests for hearings on denied requests, hearing notices, and written decisions by hearing examiners.	2		2			

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			Agency	Storage	Total					

Accreditation Records								
	291	Accreditation Reports: Final self study evaluation reports and investigative and final accreditation reports from accrediting agencies relating to accreditation status of the university.	PM		PM			
	292	Planning Records: Preliminary self studies; planning documents used to establish goals and indicators; achievement reports; documentation evidencing community, staff, and student involvement in the establishment of performance objectives; and similar records created to plan for and monitor progress during interims between visits from accrediting agencies.	AV		AV	NOTE: AV applies after subsequent accreditation.		

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		Financial Records				Retention Note: This part supplements, and should be used in conjunction with Category 4.0.000 – Fiscal Records		
	293	Fee Assessment and Collection Records: Records evidencing the assessment and collection of tuition and fees charged to and collected from each student.	AC+3		AC+3	AC = Termination of enrollment but see caution note. By regulation – 38 CFR 21.4209(f). Caution Note: The U.S. Department of Veterans Affairs requires that records as described above must be retained for 3 years from the termination of enrollment of all students, whether veterans or not. If fee statements and collection receipts are used as source documentation for entry of data on an account card or report maintained for each student, the statements and receipts may be treated as accounts receivable records and subject to the retention period given for item number 4.4.002. If the statements and receipts are the only documentation for the assessment and collection of tuition and fees, they must be retained 3 years beyond termination of enrollment. If the enrollment period for a student is less than a year, fee assessment and collection records relating to the student must be retained for FE+3 years.		

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		Financial Aid Fund Accounting Records: Ledgers; journals; journal vouchers; banking records; applications and reports (including any non-fiscal performance evaluations or studies that may be required by terms of the program) submitted to federal, state, or other funding agencies; and similar records relating to the fiscal administration by an agency of federal, state, or local grant, scholarship, loan, or work-study funds. (For records involving the application by students for financial aid see item numbers 261-269; for disbursement and repayment records maintained on each recipient see item number 270-280.)								
	294	Income Contingent Loan (ICL), Perkins Loan, College Work-Study (CWS), and Supplemental Educational Opportunity Grant (SEOG) Programs.		AC+5		AC+5	AC = Submission of annual report for the award year. By regulation – 34 CFR 673.32(e)(2), 674.19(e)(3)(i), 675.19(c)(2), and 676.19(c)(2).			
	295	Pell Grants.		AC+5		AC+5	AC = End of award year. By regulation – 34 CFR 690.82(b)(1).			

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	296	Health profession and nursing student loan programs.	AC+3		AC+3	AC = Submission of periodic report. By regulation – 45 CFR 74.21(a).		
	297	All other federal or state grant, scholarship, loan, and work-study programs whose funds are administered by the university.	AC+5		AC+5	AC = Submission of annual report for the award year or, <i>if no report required</i> , end of award year + 5 years.		
	298	Local grant, scholarship, loan, and work-study programs.	FE+3		FE+3			
		Personnel Records				Retention Note: This part supplements, and should be used in conjunction with Category 3.0.000 – Personnel Records.		
	299	Academic Grievance Records: Records concerning the review of complaints and grievances of students against faculty members or university staff.	AC+2		AC+2	AC = Closure of review of complaint		
	300	Faculty Activity and Assignment Records: Reports and similar records documenting teaching, student advisory, committee, administrative, and committee assignments of faculty members.	3		3			

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	301	Faculty Development Leave Records: Applications for faculty development leaves of absence, evaluations of and recommendations on leave requests, and associated records documenting a faculty development leave program.	AC+3		AC+3	AC = Approval or denial of application		
	302	Faculty Grant Records: Records providing an accounting of grants received by faculty while on authorized development leave as provided by Section 51.105(b), Education Code, and similar records of grants received from any source by faculty in residence if the terms of the grant or agency policy require that an accounting of faculty grants be submitted to the governing body or administrative officers.	AC+3		AC+3	AC = Receipt of grant		
	303	Promotion and Tenure Records: Evaluations, recommendations, and similar documentation relating to the review process for promotion or tenure for all faculty or staff in tenure track positions.	AC+2		AC+2	AC = Date of grant or denial of promotion in the tenure track. By regulation – 29 CFR 1602.49.		

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		General Education Development (GED) Testing Records				This part is for the use of agencies that, under contract, administer the General Education Development (GED) test. Agencies under contract to administer the ACT, SAT, CLEP, AP, or similar national tests should retain records of testing according to the procedures and requirements established by the national testing services.		
	304	Answer Sheets	AC+ 30 days		AC+ 30 days	AC = Posting to test score reports		
	305	Applications for Testing and Result Documentation: Applications to take the GED test and applications for GED certificates.	FE+3		FE+3			
	306	Test Booklet Inventory Logs: Inventory Logs or similar records of test booklets or other testing instruments over which control is necessary to the security and integrity of the test.	2		2			

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	307	Test Scores: Record of each person taking the GED test and the score received.	PM		PM	By regulation – 19 TAC 89.112(b). NOTE: Do not confuse the test scores described here, which result from the administration of the GED test, with GED test scores or copies of certificates that may be present among the admission and assessment records described in the section above item numbers 243-245.		
		Miscellaneous Records and Reports						
	308	Curriculum Development Files: Reports, studies, and similar records documenting the development of new courses and programs.	5		5	O ARCHIVES NOTE: Some records of this type may merit permanent retention for historical reasons.		
	309	Disciplinary Records – for violations that result in expulsion: Documentation relating to violations and alleged violations of campus rules, codes of conduct, or other institution policies by students, including records relating to suspension, expulsion, or other disciplinary action.	3		3	NOTE: This record group does not include records relating to academic probation, suspension, or other action arising from a student’s academic performance.		

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	310	Disciplinary Records – for all other disciplinary action and those records concerning investigations that do not result in disciplinary action: Documentation relating to violations and alleged violations of campus rules, codes of conduct, or other institution policies by students, including records relating to suspension, expulsion, or other disciplinary action.	AC		AC	AC = from the end of the academic term to which the records relate. NOTE: This record group does not include records relating to academic probation, suspension, or other action arising from a student's academic performance.		
	311	Enrollment Census Reports: Attendance reports prepared by faculty on class census day and used as source documentation for enrollment reports submitted to the Texas Higher Education Coordinating Board.	FE+3		FE+3			
5.6.009	312	Parking Decal and Permit Records: Applications for parking decals, permits, or parking lot security entry cards submitted by faculty, staff, and students, and related records of issuance.	AC		AC	AC = after termination of employment or enrollment or expiration of instrument.		

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	313	Recruitment Records: Advertisement tearsheets, direct mail pieces, promotional literature, and similar material used to recruit students, including any training materials or manuals used to instruct recruitment representatives of the university.	3		3		NOTE: Retain one copy of each. By regulation – 38 CFR 21.4209(f).						
	314	Room Scheduling Records	AV		AV								
	315	Statistical Reports: Annual statistical reports of enrollment, grades, graduates, racial/ethnic composition, student-pupil ratios, and other education-related matters submitted to the governing body, state or federal agencies, or accrediting organizations.	PM		PM								
	316	Athletics – Conference Records	AC		AC		AC = Withdrawal from conference						
	317	Athletic Eligibility Records – Student	AC+6		AC+6		AC = All audit requirements have been met						
	318	Athletic File – Students: Files on student athletes (Athletics Department).	AC+3		AC+3		AC = Graduation or date of last attendance.						
	319	Calendars, Academic	5		5	I							
	320	Career Management Center Credential Files – Students	5		5								
	321	Career Management Center Contact Files	AC + 5	2	AC + 7		AC = Date of graduation or termination of enrollment. Contains summary information on each visit/appointment with students.						

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	322	Counseling Files: Mental health counseling for students and employees	AC+7		AC+7	AC = Date of last attended session.			
	323	Copyright Information	US		US				
	324	Course Equivalencies	US+1		US+1				
	325	Endowment and Gift Income Records	PM		PM				
3.1.013	326	Graduate Assistant & Teaching Assistant: Contract letter and acceptance form.	AC+ FE+5		AC+ FE+5	AC = Expiration or termination of the contract according to its terms			
	327	Grants – Applications and Proposals – Funded	AC+4		AC+4	AC = Grant period ends.			
	328	Grants – Applications and Proposals – Not Funded	3		3				
	329	Housing – Disciplinary Records	7		7				
	330	Housing – Residence Life Surveys	2		2				
	331	Housing Records	FE+5		FE+5	Retention based upon federal requirements for Pell Grants and other campus based programs. 34 CFR 676.19(c).			
	332	ID Card Requests – Students	AC+1		AC+1	AC = Date of request.			
	333	Library – Circulation Records	FE-5		FE-5				
	334	Library – Inter Library Loan (ILL) Borrow Requests	AC+4		AC+4	AC = ILL transaction completed.			
	335	Library – ILL Lending Requests	AC+1		AC+1	AC = ILL transaction completed.			
	336	Library – ILL Search Requests	AC		AC	AC = ILL transaction completed.			

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	337	Library – Statistical Compilations: Surveys, questionnaires and similar documents used to prepare statistical reports.	AV		AV				
	338	Pesticide Application Records	3		3				
	339	Police – Arrest Reports: Arrest reports on each person arrested and charged with a felony or misdemeanor not punishable by fine only.	AC		AC	AC = 75 years, or date of death of individual, if known.			
	340	Police – Daily Report: Narrative and/or statistical activity reports prepared by shift supervisors, unit heads, or other public safety personnel on daily or other periodic activities.	1		1				
	341	Police – Incident Reports: Reports concerning incidents or complaints that, after investigation, did not appear to have involved the commission of a crime.	2		2				
	342	Police – Tickets that go to the Justice of the Peace.	5		5				
	344	Police – Offense Investigation Records: Case not cleared.	AC		AC	AC = Statute of limitations has run			

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	345	Police – Offense Investigation Records: Case in which an arrest is made and the case is cleared by the conviction or acquittal of the person, by dismissal of charges, or by the entry on the record of a court by a prosecuting attorney of a nolle prosequi:							
	345a	Class C misdemeanors and unclassified violations punishable by fine only, including parking and traffic violations.	6 mo		6 mo				
	345b	Class A and B misdemeanors and state jail felonies	2		2				
	345c	Second and third-degree felonies	10		10				
	345d	First-degree and capital felonies	50		50				
	345e	Driving while intoxicated offenses	10		10				
	350	Police Rap Sheets: Copies of rap sheets received from the Texas Dept of Public Safety or other law enforcement agencies	AV		AV				
	351	DWI Video Tapes: Tapes of persons on whom charges are not filed.	30 days		30 days				
	352	DWI Video Tapes: Tapes of persons on whom charges are filed.	AC		AC	AC = Upon return of tape by court or state's attorney.			

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	353	Police Accident Reports: Records relating to traffic accidents, including accident reports, supplemental accident reports, photographs, correspondence, and related documentation	2		2	RETENTION NOTE: If as the result of an accident, a person is arrested and charged with driving while intoxicated or with at least a second degree felony, the accident report shall be considered an offense investigation record and must be retained for the appropriate retention period based on the class of felony or offense.		
	354	Police – Child Abuse Reports: Copies of child abuse reports received by a law enforcement agency pursuant to Family Code, Sections 261.103 and 261.105, that do not become part of arrest and offense investigations.	3		3			
	355	Police – Death in Custody Reports: Copies of reports submitted to the Attorney General concerning the deaths of persons while in the custody of a peace officer.	3		3			
	356	Police – Family Violence Reports: Family violence reports that do not become a part of arrest or offense investigation records.	3		3			

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	357	Police Interrogation Reports: Reports on persons stopped and interrogated in the field because of suspicious behavior.	AV		AV			
	358	Police Reports of Gunshot Wounds: Reports of the treatment or the request for treatment of gunshot wounds received from physicians or other persons as required by Health and Safety Code, Section 161.041.	3		3			
	359	Police Missing and Unidentified Persons Files: Reports on missing children and adults, requests for investigation, photographs, fingerprints, dental records, x-rays, notifications of possible match, and similar documents relating to the location of missing children and adults, including similar records relating to unidentified bodies found in the county and reported to the sheriff.	AC+3		AC+3	AC = Date person located or body identified		
	360	Police Warning Citations: Issued for violations of motor vehicle laws or for those violations of the penal code (e.g. criminal trespass) in which the issuance of warning citation is customary.	AV		AV			

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	361	Police Stolen Property Records: Cards, lists, or logs providing an abstract record of stolen property, including stolen vehicles, usually including description of item or vehicle, place and date stolen, serial numbers, and similar information.	AV		AV				
	362	Police Uniform Crime Reports: Copies of uniform crime reports submitted to the Texas Dept of Public Safety; monthly reports	3		3				
	363	Police Uniform Crime Reports: Copies of uniform crime reports submitted to the Texas Dept of Public Safety; annual reports	PM		PM				
	364	Police Concealed Handgun Records: Lists of persons who possess concealed handgun permits submitted by the Texas Dept of Public Safety	US		US				
	365	Police Concealed Handgun Records: Copies of reports submitted to the Texas Dept of Public Safety as required by 37 TAC 6.119 regarding reportable incidents involving holders of concealed handgun permits that do not become part of arrest and offense investigation records.	2		2				

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	366	Residency Questionnaire – Students	5		5				
	367	International Studies – Student Files: Records for students traveling to Mexico, Spain, France and London or other foreign countries.	4		4				
	368	Dental Hygiene Clinic Patient Medical File/Records	AC+5		AC+5	AC = Last date of service or until patient reaches 21st birthday, whichever later. [By regulation - 22 TAC 109.44(b) for minimum retention required for dental records maintained by dentist.]			
	369	Student Health Center Patient Medical File/Records: Medical records that include patient identification data; medical history; reports of relevant physical examinations; diagnostic and therapeutic orders; documentation of appropriate informed consent; clinical observations, including the results of therapy; reports of procedures, tests, and their results, including laboratory, pathology and radiology reports; and conclusions at termination of evaluation/treatment	AC+10		AC+10	AC = Last date of service, or patient's 20 th birthday, whichever is later.			

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