



June 24, 2015

Mr. Frank Zecca
Executive Director of IT Services
UT Pan American
1201 West University Drive
Edinburg, TX 78539

State and Local
Records Management

Re: Agency records retention schedule amendment approved for use

Dear Mr. Zecca:

P.O. Box 12927
Austin, Texas
78711.2927

Amendment 2 to your agency's 8th recertification of your records retention schedule is approved for use as of Tuesday, June 16, 2015. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

4400 Shoal Creek Blvd.
Austin, Texas
78756

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

www.tsl.texas.gov

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

Commission Chairman
Michael C. Waters

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Marianna Symeonides, at 512-463-5448 or msymeonides@tsl.texas.gov.

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

Sincerely,

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

Craig Kelso
Director and State Records Administrator

Director and Librarian
Mark Smith

Assistant State Librarian
Edward Seidenberg

cc: State Auditor, State Archivist, Havidán Rodríguez

*Preserving yesterday,
informing today,
inspiring tomorrow.*

R01.736/736



Texas State Library and Archives Commission

STATE OF TEXAS Records Retention Schedule Certification

SLR 105C

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

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 736
Agency Name The University of Texas Pan American

(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 Frank Zecca

Name (Print or type) Frank Zecca

Date 7/11-15

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Signature _____
Name (Print or type) _____
Date _____

Not Required at This Time

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

Signature E Siderberg
Name (Print or type) _____
Date 06-16-2015

Cert/Recert No. 8 Amendment No. 2

CAUTION

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

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





STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 1 of 1

2. Agency Code 736		3. Agency Name The University of Texas Pan American									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Page No.		Agency Item No.		

	RESCOM 001	Human Subjects Research: Individual research study protocols and corresponding documents for human subjects research submitted to and approved by the Institutional Review Board (IRB) at UTPA. Each file contains an IRB application submitted for IRB approval, supporting research document (recruitment materials, consent forms, trainings, and data collection materials), requests for initial approval, all correspondence pertaining to the research project, and all approval (initial approval, modification approval, and continuation approval). Federal regulations require each institution to maintain research records for a minimum of 3 years.	1	2	3						New

Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End FE – Fiscal Year End LA – Life of Asset	MO – Months PM – Permanent US – Until Superseded	A – Transfer to State Archives R – Review by State Archivist		N – New C – Changed D – Deleted	



State and Local
Records Management

P.O. Box 12927
Austin, Texas
78711.2927

4400 Shoal Creek Blvd.
Austin, Texas
78756

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Commission Chairman
Michael C. Waters

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

Director and Librarian
Mark Smith

Assistant State Librarian
Edward Seidenberg

*Preserving yesterday,
informing today,
inspiring tomorrow.*

September 5, 2014

Mr. Frank Zecca
Executive Director of IT Services
UT Pan American
1201 West University Drive
Edinburg, TX 78539

Re: Agency records retention schedule amendment approved for use

Dear Mr. Zecca:

Amendment 1 to your agency's 8th recertification of your records retention schedule is approved for use as of Wednesday, September 3, 2014. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

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

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

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Marianna Symeonides, at 512-463-5448 or msymeonides@tsl.texas.gov.

Sincerely,

Craig Kelso
Director and State Records Administrator

cc: State Auditor, State Archivist, Robert S. Nelsen

R01.736/736

MS



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 736
Agency Name The University of Texas Pan American

(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 *Frank Zecca*

Name *(Print or type)* Frank Zecca

Date 7/7/2014

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

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

Signature _____

Name *(Print or type)* _____

Date _____

Not Required at This Time

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

Signature *E. Hidenberg*

Name *(Print or type)* _____

Date 09-03-2014

Cert/Recert No. 8 Amendment No. 1

CAUTION

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

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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 1 of 3

2. Agency Code 736		3. Agency Name The University of Texas Pan American								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Page No.	Agency Item No.	

	ADMIS 029	Immunization (Bacterial Meningitis) Records - Personal Data information forms	AC+5		AC+5	AC= After graduation or last attended If paper records are imaged, paper may be destroyed after 3 months.				N
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Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	A – Transfer to State Archives	N – New		
AV – Administrative Value	FE – Fiscal Year End	PM – Permanent	R – Review by State Archivist	C – Changed		
	LA – Life of Asset	US – Until Superseded		D – Deleted		



STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 2 of 3

2. Agency Code 736		3. Agency Name The University of Texas Pan American								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Page No.	

	ADMIS 030	Determination of Resident Status	PM		PM	<p>Signed affidavits, acquired by public or independent institutions of higher education in keeping with Section 21.25(a)(1) (b) of (The Administrative Code, Chapter 21. Student Services Subchapter B. Determination of Residents Status 21.30 Special Procedures for Documenting compliance.) with this chapter, must be retained in a paper or electronic format permanently by the institution or until the students (current and former) provide proof that they have applied for permanent Resident status.</p> <p>If paper records are imaged, paper may be destroyed after 3 months.</p>				N
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Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	A – Transfer to State Archives	N – New		
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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 3 of 3

2. Agency Code 736		3. Agency Name The University of Texas Pan American									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks			Page No.	Agency Item No.	

	CURIN 001	Student Files - (Undergraduate) Individual student files that contain degree plans, official/unofficial transcripts, letter of acceptance, application for admission to the Education Program, Change of Grade, Course substitution form, etc.	AC+5		AC+5		AC= After graduation or date of last attendance Record copy of transcripts are kept at (The Registrar's Office).				N
	CURIN 002	Student Files - (Graduate) Individual student files that contain degree plans, official/unofficial transcripts, application for admission to the Education Program, Petition, Appeals, Graduation Applications, Certification of Completion of Thesis, etc.	AC+5		AC+5		AC= After graduation or date of last attendance Record copy of transcripts are kept at (The Registrar's Office).				N

Retention Codes (Field 7)				Archival Codes (Field 8)		Amendment Codes (Field 12)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	PM – Permanent	A – Transfer to State Archives	N – New	C – Changed	D – Deleted
AV – Administrative Value	FE – Fiscal Year End	LA – Life of Asset	US – Until Superseded	R – Review by State Archivist			



STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page of

2. Agency Code 736		3. Agency Name The University of Texas Pan American									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Page No.		Agency Item No.		

Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	A – Transfer to State Archives	N – New	C – Changed	
AV – Administrative Value	FE – Fiscal Year End	PM – Permanent	R – Review by State Archivist	D – Deleted		
	LA – Life of Asset	US – Until Superseded				

Instructions for Completing Form SLR 122

Forms SLR 122 must be used by all state agencies to submit an amendment to an approved (certified/recertified) agency records retention schedule (Texas Government Code, Chapter 441, §441.185). See Form SLR 105C instructions for submission procedures. If you have questions relating to completion of this form or SLR 105C, please contact the State and Local Records Management Division at 512-463-7610.

Formatting: When duplicating this form electronically, leave at least ¼ inch in the top and left margins. Use 10 point font and larger for the data entered into the schedule.

Field 1 Enter the page number and the total number of pages in this amendment (i.e., 1 of 15).

Field 2 Enter the 3-digit Agency Code assigned by the Comptroller of Public Accounts.

Field 3 Enter the complete name of your agency.

Note For Fields 4 - 12

New Records Series: Enter all information for fields 4 – 10, leave field 11 blank, complete field 12.

Changed Records Series: Enter all information for fields 4 – 12.

Deleted Records Series: Leave fields 4 – 9 blank, complete field 10 if applicable, complete fields 11 - 12.

Field 4 Enter the item number for the records series from the *State Records Retention Schedule* (RRS). If the records series title is not included in the RRS, enter the numbers of the appropriate "Category" and "Section" from the RRS where it should be listed. Category and Section Numbers are at the top of the page in the RRS. If the records series cannot be matched to a category and section, then leave Field 4 blank.

Field 5 Enter the number that has been assigned by your agency to the corresponding records series. Do not assign an agency item number that is assigned to another records series on the approved (certified/recertified) retention schedule.

Field 6 Enter the official title of the records series (i.e., W-4 Forms, Labor Statistics Report, Surety Bonds).

Field 7 Enter the retention period of the records series is to be retained in active use at the agency, the number of years it is to be retained in an inactive storage facility, such as the State Records Center, and the total of the two amounts. If a retention period is less than one year, enter the number of months. Refer to the retention codes at the bottom of the form.

Field 8 Using the archival codes at the bottom of the form, indicate the archival value, if applicable, of the records series:

A - Used with records series that will be transferred to the State Archives and do not require a prior review by the State Archivist.

R - Used with records series that have undetermined archival value, and require a review by the State Archivist prior to being transferred to the State Archives.

Field 9 Enter any statute references, other legal citations, or agency policy used as a basis for the retention period.

Field 10 If this records series is stored at the State Records Center, enter the RMD 106 Storage Approval Number.

Field 11 If this records series amends an item on the current approved (certified/recertified) agency retention schedule, list the page number of the agency item number of the records series being amended. If the records series is new, leave blank. If the records series is being deleted, enter the page number and agency item number of the records series being deleted.

Field 12 Designate how *this* records series is being amended, a new records series, a changed records series, or a deleted records series. Refer to the amendment codes at the bottom of the form.



February 14, 2014
Mr. Frank Zecca
Executive Director of IT Services
UT Pan American
1201 West University Drive
Edinburg, TX 78539

RE: Agency records retention schedule approved for use

Dear Mr. Zecca:

Your agency's records retention schedule is approved for use as of February 11, 2014. Your currently approved records retention schedule is available on our website at <https://www.tsl.state.tx.us/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 **February 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, Marianna Symeonides, at 512-463-5448 or msymeonides@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

Enclosure
cc: State Auditor, State Archivist
cc: (without enclosure) Robert S. Nelsen

State and Local
Records Management

P.O. Box 12927
Austin, Texas
78711.2927

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78756

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Commission Chairman
Michael C. Waters

Members
Sharon T. Carr
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Wm. Scott McAfee
Sandra J. Pickett

Director and Librarian
Mark Smith

Assistant State Librarian
Edward Seidenberg

*Preserving yesterday,
informing today,
inspiring tomorrow.*

R01.736/73



Texas
State Library
and Archives
Commission

STATE OF TEXAS Records Retention Schedule Certification

EW
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 736
The University of Texas Pan
Agency Name American

(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 Frank Zecca
Name (Print or type) Frank Zecca
Date 4-15-13

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 Erichsenberg
Name (Print or type) _____
Date 02-11-14

Cert/Recert No. 8 Amendment No. —

CAUTION

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

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





STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 1 of 61

2. Agency Code 736		3. Agency Name The University of Texas Pan American							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Vital Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			
4.1.003	A&I 001	Canceled Checks/Stubs/Warrants/Drafts/Check Registers	FE+3		FE+3				
4.1.006	A&I 002	Investment Transaction Files	FE+3		FE+3				
4.4.004	A&I 003	Employee Savings Bond Ledgers	FE+3		FE+3	X			
	A&I 004	Bond Destruction Certificates	PM		PM				
4.7.002	A&I 005	Bank Statements	FE+3		FE+3				
4.7.010	A&I 006	Long-Term Liability Records – Bond Records	AC+1	2	AC+3	X	AC=Retirement of debt.		
4.7.012	A&I 007	Signature Authorizations Records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency	US+ FE+3		US+ FE+3				

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	O – Review by University Archivist
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded		

The University of Texas Pan American Records Retention Schedule

Record Coding		Record Series Title	Retention Period			Special Handling		Comments
State Record Series	UTPA Record Code		Active Records	In Storage	Total	Vital	Archival	
	A&I 008	Forged Endorsement –Check Fraud Cases – This record is an affidavit provided by the bank and completed by the University. A case is initiated when a student claims that a check was not received and the check cleared the bank. The information in the affidavit includes a description of the fraudulent item (the check), the Claimant’s name (UTPA), the Endorser’s name (the student), and a description of the circumstances of the fraudulent activity. A police report is filed and attached to the forms. The original affidavit is notarized and mailed out to the bank. It takes up to three months for the bank to investigate the case. When the case is resolved the bank sends an e-mail to the University communicating the results of the case.	FE+3		FE+3			
	ACADE 002	Correspondence relevant for student applicants Applicants refers to individuals who apply for admission to a special program of the University – Includes letters of recommendation.	AC+1		AC+1			AC=After graduation or date of last attendance
	ACADE 003	Applications for Admission or Readmission to a special program of the University	AC+1		AC+1			AC=After graduation or date of last attendance
	ACADE 004	Course Syllabus	5		5		0	
	ACADE 005	Test Materials – includes reports, term papers, PowerPoint presentations –items used to determine grades	AC+1 Semester		AC+1 Semester			AC=After Administered Final Exams must be retained for 1 semester HOP 6.5.4.
	ACADE 006	Course/Professor evaluations by students	AC+2	5	AC+7			AC= Date of grant or denial of promotion in the tenure track (29 CFR 1602.49)

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

The University of Texas Pan American Records Retention Schedule

Record Coding		Record Series Title	Retention Period			Special Handling		Comments
State Record Series	UTPA Record Code		Active Records	In Storage	Total	Vital	Archival	
	ACADE 007	Academic Records Working Papers Included in this are documents outlining student responsibilities during field work and work papers used to create a degree plan and miscellaneous correspondence related to these records. Field experience records such as practice teaching, social work experience, etc.	AC+2		AC+2			AC = Date of graduation or last date of attendance.
	ACADE 008	Faculty Tenure Records – Backup Documentation	AC+2		AC+2			AC=Date of grant or denial of promotion in the tenure track.
	ACADE 009	Accreditation Records – Includes final version of SACS (Southern Association of College and Schools) Report	PM		PM	I		Must be archived.
	ACADE 010	Accreditation Work Papers	AC+1		AC +1			AC= Date of accreditation
4.2.001	ACCOU 001	Cash Deposit Vouchers Cash Deposit Slips	FE+3		FE+3			
4.2.006	ACCOU 002	General Journal Vouchers	FE+3		FE+3			
4.3.001	ACCOU 003	Sales Journals or Registers	FE+3		FE+3			
4.3.002	ACCOU 004	Receipts Journals or Registers	FE+3		FE+3			
4.3.003	ACCOU 005	Expenditures Journals or Registers	FE+3		FE+3			
4.4.001	ACCOU 006	General and Subsidiary Ledgers	FE+3		FE+3	X		
4.4.002	ACCOU 007	Accounts Receivable Ledgers	FE+3		FE+3	X		
	ACCOU 008	Batch Header Logs – Control logs for receipts, IDT's, (Inter Departmental Transfers) JVs	FE+1	2	FE+3			
4.1.007	ACCOU 009	Transfer or Budget Revisions Transfers or adjustments to budgets	FE+3		FE+3			
4.1.008	ACCOU 010	Electronic Fund Transfers. Direct Deposit Registers.	FE +3		FE + 3			
4.1.004	ACPAY 001	Encumbrance Detail	FE+3		FE+3			

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

The University of Texas Pan American Records Retention Schedule

Record Coding		Record Series Title	Retention Period			Special Handling		Comments
State Record Series	UTPA Record Code		Active Records	In Storage	Total	Vital	Archival	
4.2.007	ACPAY 002	Expenditure Vouchers (Travel, payroll, etc.)	FE+3		FE+3			
4.4.003	ACPAY 003	Accounts Payable Ledgers	FE+3		FE+3			
5.3.002	ACPAY 004	Freight Bills paid	FE+1	2	FE+3			
5.5.001	ACPAY 005	Billing Detail – Telecommunications (Other than TEX-AN) In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE+1	2	FE+3			SEE Item Number 5.5.006 for TEX-AN billing detail.
5.5.006	ACPAY 006	Billing Details – Telecommunications (TEX-AN) Retention period applies only to TEX-AN billing detail received by an agency from the General Services Commission BEFORE June 1, 1994. In addition to detail, includes any accompanying detailed listing of long distance calls.	FE+1	2	FE+3			Pursuant to 1 TAC 121.5(f) adopted May 17, 1994. The billing agency will maintain all long distance TEX-AN records and will provide each using agency its bill summary of centralized capitol complex telephone service without call detail records. For these bill summaries, SEE item number 4.7.011. SEE item number 5.5.001 for billing detail from carriers other than TEX-AN.
5.5.007	ACPAY 007	Disputed Call Documentation Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for .personal long distance use.	FE+1	2	FE+3			
3.3.023	ACPAY 008	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			
4.1.001	ACPAY 009	Accounts Payable Information	FE+3		FE+3			

Retention Codes (Field 7)

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

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Archival Codes (Field 8)

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

The University of Texas Pan American

Records Retention Schedule

Record Coding		Record Series Title	Retention Period			Special Handling		Comments
State Record Series	UTPA Record Code		Active Records	In Storage	Total	Vital	Archival	
4.1.002	ACPAY 010		Billing Detail	FE+3		FE+3		
1.1.056	ADAEE 001	ADA (Americans with Disabilities Act) Documentation Self Evaluations and plans documenting compliance with requirements of the Americans With Disabilities Act	3		3			28 CFR 35.105(c) Records are maintained by the ADA Coordinator.
3.3.031	ADAEE 002	EEO (Equal Employment Opportunity) 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
	ADMIS 001	Transcripts from High School	AC+5		AC+5			AC=After date submitted
	ADMIS 002	Entrance Examination Reports (ACT – American College Testing, CEEB- College Entrance Examination Board, , SAT- Scholastic Aptitude Test, TASP- Texas Academic Skills Program)	AC+1		AC+1			AC= After date submitted
	ADMIS 004	Applications for admissions for students who do not enter (FERPA applies, but is subject to Texas Open Records Law)	AC+1		AC+1			AC=After application term
	ADMIS 005	Residency Classification - Student Records (initial decision)	AC+5		AC+5			AC=After date submitted
	ADMIS 020	Transcripts From Other Colleges For Student Applicants	AC+5		AC+5			AC=After date submitted
	ADMIS 027	Application for students who enroll for admission or readmission to the University	AC+3		AC+3			AC=After application term
	ADMIS 028	Original Foreign Transcripts enrolled or not enrolled	PM		PM			
4.7.004	ASSET 001	Capital Asset Records	LA+3		LA+3			

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Archival Codes (Field 8)

I – Transfer to University Archives
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4.7.009	ASSET 002	Fixed Assets Sequential Number Logs	US+3		US+3			
5.2.015	ASSET 003	Inventory, Notices of Equipment Removed From	FE+1	2	FE+3			
5.2.017	ASSET 004	Lost and Stolen Property Reports	FE+1	2	FE+3			
5.2.021	ASSET 005	Surplus Property Sale Reports	FE+3		FE+3			
4.1.005	ASSET 006	Inventory and Other Cost Files Production, job, labor, quotes, pricing, specifications, etc.	FE+3		FE+3			
	ATHLE 001	Student Athletes' Medical Records	AC+7		AC+7			AC=Graduation or last date of involvement in Athletic Program
	ATHLE 002	Athletic Compliance Records – Includes NCAA (National Collegiate Athletic Association) Student Athlete Statement and NCAA Drug Testing Forms	AC+3	4	AC+ 7			AC=last year of eligibility or last date of attendance O=paper and or electronic
	ATHLE 003	Athletic Institutional Self Study	PM		PM	I		Completed every 10 years.
	ATHLE 004	Athletic Records These records are official and unofficial recruiting Visits.	2	5	7			
	AVPAA 001	Curriculum Committee Minutes	PM		PM	I		Maintained by the Associate Vice President for Academic Affairs
	AVPAA 002	Graduate Council Minutes	PM		PM	I		Maintained by the Associate Vice President for Academic Affairs

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	BIOLO 001		Controlled Substance Registration	2		2		
5.1.001	BOOK 001	Contracts for Resale Items	AC+1	3	AC+4			AC=end of contract O=paper and/or electronic dependent upon number of contract years – some contracts are in excess of 3 years.
	BUDGE 001	Tuition and Fee Charges (Proposals) – Not Approved	FE+1	2	FE+3			
	BUDGE 002	Tuition and Fee Charges - Approved	PM		PM		I	Must be archived.
	BUDGE 003	Tuition and Fee Charges - Terminated	AC+1	2	AC+3			AC= After date of last attendance
4.5.006	BUDGE 004	Annual Operating Budgets Required by the General Appropriations Act	FE+3		FE+3			
	CCNTR 002	IA (Information Access) Account Creation	AC	2	AC+2			AC=Close of account
	CCNTR 003	Information Technology Service Request formerly called Computer/Network Services Requests (Includes CSR for Records Management Requests)	AC	3	AC+3			AC=Close of account Note: FY2010 form is in process of replacement.
	CCNTR 006	UIC - (Request for Individual Computer/Internet Access) Forms	AC	3	AC+3			AC=Close of account

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	CENSC 001		Work Orders TMA (The Maintenance Authority) Includes preventive maintenance on vehicles and buildings- routine repairs, service calls and all corresponding attachments. Schedules of prices charged by an agency for services to public or other agencies, including any documentation used to determine the charges.	US+3		US+3		
	CERTI 001	Certification Deficiency Plan	AC+1		AC+1			AC=After deficiencies are met.
	CERTI 002	Certification Application for Teacher's Certificate	AC+1		AC+1			AC=After certification
	CERTI 003	Teacher Certifications	AC+1		AC+1			AC= After graduation or date of last attendance. Texas Education Agency has Permanent Record
	COMPL 001	Compliance Questions and Issues Raised	AC+1		AC +1			AC=Date of final disposition to question raised Documents in this series should be copied and submitted to Human Resources in instances where formal grievances result from compliance questions and issues raised.
	COMPT 001	Annual Financial Report Work Papers Including 13th month post-closing report	FE+3		FE+3			
4.5.003	COMPT 002	Annual Financial Reports Required by the General Appropriations Act (100 Day Report).	AC + 6		AC + 6			AC=September 1 st of odd-numbered calendar years. Caution: If an agency does not produce a biennial or annual narrative report as described in Item Number 1.1.066, then these annual financial reports must be marked with Archival Code I. When a biennial or annual narrative report is not produced, the archival requirement is met by sending the required copies of the reports to the Texas State Library and Archives Commission.
	COMPT 003	Cash Handling Records	FE+1	2	FE+3			

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4.7.001	COMPT 004	Accounting Policies and Procedures Manual	US+3		US+3	X		
4.7.007	COMPT 005	Detail Chart of Accounts One for all accounts in use for a fiscal year.	FE+3		FE+3			
	COMPT 006	State Appropriations/USAS Reporting	FE+1	2	FE+3			
4.5.007	COMPT 007	USAS (Uniform Statewide Accounting System) Reports – Daily	AC		AC			AC = Receipt and reconciliation of monthly report.
4.5.008	COMPT 008	USAS (Uniform Statewide Accounting System) Reports – Monthly	AC		AC			AC = Receipt and reconciliation of annual report.
4.5.009	COMPT 009	USAS (Uniform Statewide Accounting System) Reports – Annually	FE+3		FE+3			
4.6.001	COMPT 010	Balancing Records	FE+3		FE+3			
	COMPT 011	Unclaimed Property – This record includes any property that has been abandoned by the owner. Examples are Payroll and Accounts Payable checks. Payroll are considered unclaimed property if they have not been cashed for a year. Accounts Payable checks are considered unclaimed property if they have not been cashed for three years. An unclaimed property report is sent to the Texas Comptroller of the Public Accounts once a year	CE+10		CE+10			
5.2.002	CONST 001	Building Construction Project Files Planning design and construction records; accepted/rejected bids, correspondence, etc.	AC+1	9	AC+10	X	O	AC=Completion of Project See also ITEM 5.2.003 and 5.2.028.
5.2.003	CONST 002	Building Plans and Specifications Includes architectural and engineering drawings, profiles, and blueprints.	State owned: LA Leased: AC+2		State owned: LA Leased: AC+2	X	O	AC = For leased buildings; termination or cancellation of lease. Note: Archival Review designation is for state-owned buildings only. See also Item Numbers 5.2.002 and 5.2.028.

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	CONST 003	Material Construction Specification Manual	LA		LA			
5.2.028	CONST 004	Building Construction Contract and Inspection Records (Building construction contracts (JOC), inspections, surety bonds and records).	LA	10	LA+10	X	O	SEE also item numbers 5.2.002 and 5.2.003
	CONST 005	Building construction submittals In response to RFI-Request for Information, RFB- Requests for bids, RFQ-Request for Qualifications, RFP- Requests For Proposals	LA		LA	X	I	Retain one set of selected vendor permanently.
	CONST 006	Building Design Development Manuals & construction drawings	AC+10		AC+10			AC= After completion of building. Design-Build development and construction. Intermediate and superseded materials. Does not include 'as built' drawings.
	CONST 007	Building construction submittals Plumbing, HVAC, Fire Alarm, Sprinkler System, Electrical, IT, Paint to include all other construction project submittals and Close-Out Manuals.	LA		LA		O	Purge and properly update records when building is renovated
	COUNS 001	TASP - (Texas Academic Skills Program) Related Records – records used to advise and counsel students	AC+1	2	AC+3			AC=After application term
	DEANS 001	Degree Plans Degree plans are the responsibility of the Dean’s office of each college. When application for graduation is made the Admissions Office has a record of all classes the student has completed and determines whether or not the student has met degree requirements.	AC+5		AC+5			AC= After graduation or date of last attendance.

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	DOSTU 001	Student Disciplinary Action Records – Student code of conduct violations that result in sanctions of suspension, expulsion, denial or revocation of degree, and/or withdrawal of diploma.	PM		PM			Note: Records are confidential and are to be maintained in the Dean of Students Office. See Regents’ Rules and Regulations Rule 50101 Part 2, Section 8.
	DOSTU 002	Student Disciplinary Action Records -Student violations of code of conduct deemed scholastic dishonesty and others where the penalty assessed does not require records to be permanent.	FE+5		FE+5			FE corresponds to the academic year. See also Record Series DOSTU001 and Regents’ Rules and Regulations Rule 50101 Part 2, Section 8.
	DOSTU003	Student Disciplinary Action Records - Student code of conduct violations where penalty assessed does not require records to be permanent and the violations must be reported in the campus safety and security report.	FE+7		FE+7			FE corresponds to the academic year. See also Record Series DOSTU001 and Regents’ Rules and Regulations Rule 50101 Part 2, Section 8.
5.1.013	EHSAF 001	Insurance Policies For vehicles, equipment, etc.	AC+4		AC+4	X		AC=Expiration or termination of the policy according to its terms.
5.4.002	EHSAF 002	Evacuation Plans Plans for evacuation of agency facilities in case of emergency	US		US			
5.4.003	EHSAF 003	Inspection Records Fire, safety, and other inspection records of agency	AC+3		AC+3			CAUTION: Does not include inspection reports of building construction. See item number 5.2.028. AC = Inspection or date of the correction of the deficiency if the inspection report reveals a deficiency.
5.4.004	EHSAF 004	Fire Orders Orders issued by Fire Marshal to correct deficiencies in compliance with the fire code.	AC+3		AC+3			AC=Deficiency Corrected

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5.4.007	EHSAF 005	Hazardous Materials Training Records Records of training given employees in an agency hazard communications program	5		5			Health and Safety Code, Section 502.009(g)
5.4.008	EHSAF 006	Hazard communication Plans	US+5		US+5	X		Health and Safety Code, Section 502.009(g)
5.4.009	EHSAF 007	Workplace Chemical Lists	30		30			Health and Safety Code, Section 502.005(d)
5.4.010	EHSAF 008	Material Safety Data Sheets	AC		AC			AC=After sheets are updated or hazardous chemical no longer stored by agency, as applicable.
	EHSAF 009	Safety Records Records of exposure to asbestos, tremolite, anthophyllite, actinolite, and other hazardous materials	30		30			29 Code of Federal Regulations Chapter XVII
	EHSAF 010	Waste Disposal Records	PM		PM			40 CFR Part 264 (RCRA)
	EHSAF 011	Petroleum Storage Tank Records	LA		LA			LA=Life of Asset -
	EHSAF 012	Environmental Release (Air) Records	FE+3	2	FE+5			
	EHSAF 013	Environmental Release (Water) Records	FE+3	2	FE+5			
	EHSAF 014	Maintenance Records documenting the resolution/correction of hazardous materials or dangerous situation	PM		PM			
5.4.001	EH&S 001	Accident Reports & Associated Documentation – Accident or occupational disease reports (by supervisor, employees) and other associated reports required to be submitted to the Division of Worker’ Compensation of the Texas Department of Insurance or its predecessors or maintained internally on accident frequency	CE+2	3	CE+5	X		Note: 29 CFR 1904.33. The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.
	EXAFF 001	Gift Records	PM	PM	PM	I		Security is open with restrictions. Must be secured with restrictions archived.

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	FAACC 001		Federal Perkins, Federal Nursing and Institutional Loans Documentation	AC	5	AC+5		
	FINAID 001	Requests for Formal Review/Litigation, if student is under litigation.	AC		AC			AC= Life of affected record
	FINAID 002	Financial Aid Documents – Students	AC+1	2	AC+3			AC= Academic Year. If paper records are imaged and/ or microfilmed, paper may be destroyed after 3 months.
	FINAID 003	NCAA –(National Collegiate Athletic Association) Financial Aid Records	AC+2	4	AC+6			AC= Academic Year. If paper records are imaged, paper may be destroyed after 3 months. Recommended by NCAA.
	FINAID 004	Scholarship Records	AC+1	2	AC+3			AC = Academic Year. If paper records are imaged and/or microfilmed, paper may be destroyed after 3 months.
	FINAID 005	Financial Aid Documents – Related to student loan eligibility	AC+3		AC+3			AC = After date of graduation or date of last attendance. If paper records are imaged and/or microfilmed, paper may be destroyed after 3 months.
	FINAID 006	Perkins Loan Documents	AC+5		AC+5			AC= Date loan assigned, cancelled, or repaid, per 34 CFR 674.19 (e) (3) These documents are then transferred to the Financial Aid Accounting Office. See FAACC 001
	GEARU 001	Gear Up Federal Grant Financial Records	FE	7	FE+7			Documentation of uses of Federal Monies.
	GEARU 002	Gear UP Meeting Records	FE	7	FE+7			Documentation of services provided to students, parents, and others to meet Grant objectives
	GEARU 003	Gear Up Student Surveys	FE	7	FE+7			Documentation of services provided to students, parents, and others to meet Grant objectives
	GEARU 004	Gear Up Parent Surveys	FE	7	FE+7			Documentation of services provided to students, parents, and others to meet Grant objectives

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	GEARU 005	Gear Up Teacher Surveys	FE	7	FE+7			Documentation of services provided to students, parents, and others to meet Grant objectives
	GEARU 006	Records of Parental Services	FE	7	FE+7			Mandatory documentation of services provided to parents to meet Grant objectives.
	GEARU 007	Gear Up Student Records	FE	7	FE+7			Mandatory documentation of services provided to students, including required test results and grades.
	GRST 001	Student Files – Applications for Graduate School admission, correspondence, transcripts, evaluations, translations	PM	PM	PM			
	GEN 001	Affiliation Agreements	AC+1	1	AC+2			Originating Office keeps for life of Agreement AC= Until Termination

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1.1.058	GEN 004	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 record series and item numbers 1.1.059, 1.1.060, 1.1.061 and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency. Chair of the committee is responsible for ensuring that the agenda and minutes of each meeting are maintained. Retention period recommended by the UT Board of Regents. Includes Campus Animal Use and Care Committees and Intercollegiate Athletic Councils.
1.1.006	GEN 005	Complaint Records. Complaints received by an agency from the public and the agency's 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.

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1.1.007	GEN 006	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.	2	5	7	X	O	ARCHIVES NOTE: Only the administrative correspondence of the executive staff, board or commission members, division directors and program heads require review. Contact the University Archives when these records have met their retention periods. NOTE: <u>Archival requirement for the President's Office only.</u> CAUTION: Record series 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 agencies approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number IAUDI 001, etc. See also item number 1.1.011. Correspondence related to a federal grant must be retained for the minimum period required by 4.7.008.
1.1.008	GEN 007	Correspondence-General. Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from routine operations of the police, programs, services, or projects of any agency.	2		2			See Comment to item number 1.1.007. See also item number 1.1.010
1.1.010	GEN 008	Directives. Any document that officially initiates, rescinds, or amends general office procedures	US+1		US+1			

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1.1.011	GEN 009		Executive Orders. Any document that initiates, rescinds, or amends a policy, or procedure that governs the programs, services, or projects of an agency.	US+3		US+3	X	
1.1.013	GEN 010	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	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.
1.1.014	GEN 011	Legal Opinions and Advice. From agency legal counsel, Attorney General, and any other requests eliciting opinions.	AV		AV		O	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending legislation. SEE item number 1.1.048.
1.1.024	GEN 012	Plans and Planning Records. Plans and records relating to the process of planning new redefined programs, services or projects of an agency 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. ARCHIVE NOTE: Data processing planning records are not archival

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1.1.026	GEN 013	Texas Register Submissions. Copies of all proposed, withdrawn, emergency rules; open meetings notices; or any other documents by law to be submitted to the Texas Register.	AC+1		AC+1			AC=Date of publication in Texas Register
1.1.038	GEN 014	Customer Surveys. Surveys returned by the customers or clients of an agency, and the statistical data maintained rating and agency's performance.	AC		AC			AC = Final disposition of summary report. See Item Number 1.1.067 for summary reports compiled from customer surveys.
1.1.040	GEN 015	Speeches, Papers and Presentations. Notes or text of speeches, papers, presentations, or reports delivered in conjunction with an agency's work.	AC		AC		O	AC= End of term in office or termination or service in a state position.
1.1.041	GEN 016	Suggestion System Records. Suggestions submitted by agency personnel and responses	1		1			
1.1.043	GEN 017	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. Includes professors' notes for class preparation and handouts for classes.	US+1		US+1			

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1.1.057	GEN 018		<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 the statutory obligations or to the documentation of agency functions. Some examples are transitory information, which can be in any medium (voice, mail, fax, email, hard copy, etc) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction</p>	AC		AC		
1.1.059	GEN 019	<p>Meetings, Certified Agendas or Tape Recordings of Closed Meetings Certified Agendas or tape recordings of closed meetings, state boards, commissions, committees and councils.</p>	AC+2		AC+2			<p>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 Does not include Curriculum Committee Minutes or Graduate Council Minutes. See AVPAA 001 and 002.</p>

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Record Coding		Record Series Title	Retention Period			Special Handling		Comments
State Record Series	UTPA Record Code		Active Records	In Storage	Total	Vital	Archival	
1.1.060	GEN 020	Meetings, Audio or Videotapes of Open Meetings Audio 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 meetings of governing bodies in lieu of written minutes. The proceedings of all meetings of state boards, committees, commissions, and councils must be reduced to writing. See also caution comment at Item Number 1.1.058.
1.1.061	GEN 021	Meeting Notes Notes taken during open meetings of state boards, commissions, committees and councils from which minutes are prepared.	AC +90 days		AC +90 days			AC=Approval of the formal minutes by the governing body. See caution comment at Item Number 1.1.058.
1.1.062	GEN 022	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 some of which may not be submitted at an actual meeting.	2		2		I	See caution comment at Item Number 1.1.058. Must be archived. This refers to all University Committees with the exception of the Campus Animal Use and Care Committee and the Intercollegiate Athletic Council that fall under Record Series 1.1.058 Agency Item # GEN 004. The Chair of the committee is responsible for ensuring that the agenda and minutes of each meeting are maintained. All committees must attach a copy of meeting agenda and minutes to corresponding supporting documentation and forward to University Archivist upon completion of retention period.

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State Record Series	UTPA Record Code		Active Records	In Storage	Total	Vital	Archival	
1.1.063	GEN 023	Staff Meeting Minutes and Notes Minutes or notes and supporting documentation taken at internal agency staff meetings.	1		1			
1.1.064	GEN 024	Agency Performance Measures Documentation Any records of an agency needed for the documentation output, outcomes, efficiency, and explanatory measures in agency's appropriation's request or strategic plan, and for performance measures used to manage the agency.	FE + 3	5	FE+8	X		CAUTION: The FE+8 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	GEN 025	Reports & Studies (Non-Fiscal) – Raw Data. Information or data collected and compiled for the producing of 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	GEN 026	Reports – Biennial or Annual Agency (Narrative) Biennial narrative reports to the governor and legislature 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 st 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.

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State Record Series	UTPA Record Code		Active Records	In Storage	Total	Vital	Archival	
1.1.067	GEN 028	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 elsewhere in this schedule. Includes reports distributed internally or to other entities.	3	4	7		O	
1.1.068	GEN 029	Reports on Performance Measures Quarterly and annual reports on agency performance measures submitted to the executive and legislative offices.	AC + 6		AC + 6		O	AC=September 1 st of odd-numbered calendar years
1.1.069	GEN 030	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. NOTE: Includes sign-in sheets, chiller logs and fire alarm logs.
1.2.013	GEN 031	Records Control Locator Aids Includes indexes, card files, shelf list, 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.

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State Record Series	UTPA Record Code		Active Records	In Storage	Total	Vital	Archival	
1.2.014	GEN 032	Records Management Plans Records Management Plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US+1		US+1			
1.2.015	GEN 033	Disaster Recovery Service Transmittals (RMD 109)	FE+1		FE+1			

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State Record Series	UTPA Record Code		Active Records	In Storage	Total	Vital	Archival	
1.3.001	GEN 034	<p>State Publications 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 open records law, Government Code, Chapter 552. The term includes but is not limited to: a publication distributed in print, on microform, as audiovisual material, as interactive media or on electronic external storage device; an on-line publication which is an index to other on-line publications, one or more text, graphic, or other digital files, or a user interface to a computer database.</p>	AC+2		AC+2		I	<p>CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101-441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of The Texas State Library and Archives Commission (13 TAC 3.1-3.16)</p> <p>AC= Until superseded or obsolete</p>
1.3.002	GEN 035	<p>Publication Development Files Background material, copy (drafts), original artwork, negatives, prints, flats, etc. This includes all work both inside and outside the agency.</p>	AV		AV		O	Must be reviewed for archive.

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Record Coding		Record Series Title	Retention Period			Special Handling		Comments
State Record Series	UTPA Record Code		Active Records	In Storage	Total	Vital	Archival	
2.1.001	GEN 036	Processing Files Machine-readable files used in the creation, utilization, and updating of master files.	AC		AC	X		AC=Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur. CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere
2.1.002	GEN 037	Master Files Relatively long-lived computer files containing files and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC		AC	X		AC=Completion of 3rd verification cycle or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes. CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.
2.1.007	GEN 038	Software Programs Automated software applications and operating system files including job control language, program listing/source etc.	AC		AC	X		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 that require the software to be retrieved and read. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.

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State Record Series	UTPA Record Code		Active Records	In Storage	Total	Vital	Archival	
2.1.008	GEN 039	Hardware Documentation Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, configurations, and equipment control systems.	AC		AC	X		AC=Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.
2.1.009	GEN 040	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 (instruction manuals), system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	AC		AC	X		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 requires the software to be retrieved and read. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.

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State Record Series	UTPA Record Code		Active Records	In Storage	Total	Vital	Archival	
2.1.010	GEN 041	Audit Trail Records Files needed for electronic data such as files or reports showing transactions accepted, rejected, suspended, processed; history files/tapes; records of online updates; application files; or security logs.	AC		AC	X		AC=All audit requirements have been met.
2.1.011	GEN 042	Finding Aids, Indexes, and Tracking Systems Automated indexes, lists, registers, and other finding aids used to provide access to the hard copy and electronic copy	AC		AC	X		AC=The related records have been destroyed. CAUTION: These records must carry the same retention period and archival code of the records they support.
2.2.001	GEN 043	System Monitoring Records Electronic files or automated logs created to monitor systems such as print spool logs, console logs, tape logs, etc.	AV		AV	X		Vital classification is for logs that are re-do logs or that record transactions for the purpose of system recovery.
2.2.002	GEN 044	Chargeback Records to Data Processing Services Users. Records used to document, calculate costs and bill units for computer usage and data processing services. These records are also used for cost recovery, budgeting, and administrative purposes.	FE+3		FE+3			
2.2.004	GEN 045	Computer Job Schedules and Reports Schedules or similar records showing computer jobs to and other reports by computer operators or programmers work performed.	3 months		3 months			

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State Record Series	UTPA Record Code		Active Records	In Storage	Total	Vital	Archival	
2.2.010	GEN 046	Data Processing Policies and Procedures Manuals, guidelines, or similar documents establishing processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production system, backup, etc.	US+3		US+3	X		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	GEN 047	Batch Data Entry Control Records Forms and logs used to reconcile caches submitted for processing against batches received and processed.	AC		AC			AC = When reconciliation confirmed.
2.2.012	GEN 048	Output Records for Computer Production Reports showing transactions that were accepted, suspended, and/or processed	AV		AV	X		O=Paper and electronic.
2.2.013	GEN 049	Quality Assurance Records Information verifying the quality of system, hardware, or software operations including records of errors of failures, the loss of data resulting from such failures, abnormal termination and of error free processing, check changes put into production, transaction histories, and records needed as an audit trail to evaluate data.	AC		AC			AC=No longer needed as an audit trail for any records modified. O=Paper or electronic.
3.1.006	GEN 050	Employee Counseling Records Notes, memoranda, or reports relating to the counseling of employee for work related, personal, or substance abuse problems. Usually maintained at the supervisory level except in those agencies with counseling staff.	AC+3		AC+3			AC=Termination of counseling. Usually kept at a supervisory level.

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State Record Series	UTPA Record Code		Active Records	In Storage	Total	Vital	Archival	
3.1.019	GEN 051	Performance Appraisals	2		2			29 CFR 1620.32 (c) Copies kept at a supervisory level. Official appraisal kept in the personnel record –
3.1.020	GEN 052	Personnel Corrective Action Documentation Corrective actions are those actions which do not affect status, or tenure and are imposed to correct or improve employee's job performance.	AC+5		AC+5			AC=Termination of corrective action CAUTION: If, during the retention period of this record series, any part of this series is used to document and support personnel disciplinary action under Item Number 3.1.021, all documentation from this series used to support disciplinary action must be retained for the minimum period described by Item Number 3.1.021. These records should remain with the supervisor unless they become a part of a disciplinary action or the individual leaves the employ of the University and they should then be moved to the Personnel Services Office where they should be retained for AC + 5 where AC = separation from institution.
3.1.027	GEN 053	Training and Education 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. It is the responsibility of each employee to provide certificates of completion of training to the Personnel Services Office.
3.1.035	GEN 054	Performance Bonds Bonds posted by employees and individuals or entities contracted with an agency for the performance of the duties of the position or the terms of a contract with the agency.	AC+4		AC+4	X		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.
3.3.020	GEN 055	Work Schedules/Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments	1		1			

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3.3.030	GEN 056		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		
3.4.007	GEN 058	Time Off and/or Sick Leave Requests	FE+3		FE+3			
4.2.002	GEN 059	Cash Receipts Includes receipts for fees (permits, licenses, renewals, etc.)	FE+3		FE+3			
4.2.003	GEN 060	Daily Cash Receipt Logs	FE+3		FE+3			
4.2.004	GEN 061	Encumbrance Document Orders, statements, charge orders, etc.	FE+3		FE+3			
4.5.001	GEN 062	Worksheets for Preparing Fiscal Reports	FE+3		FE+3			
4.5.002	GEN 063	Internal Fiscal Management Reports Includes agency monthly budget reports.	FE+3		FE+3			
4.5.005	GEN 064	External Fiscal Reports Special purpose – i.e. federal financial reports, salary reports, etc. Includes the reports required for Financial Aid, Payroll, etc. Includes HUB Reports.	FE+3		FE+3			
4.6.002	GEN 065	Reconciliations	FE+3		FE+3			See GEN 061- backup documentation for the reconciliation process.
5.1.004	GEN 067	Mail and Telecommunications Listings Any mailing addresses, telephone or fax numbers, or e-mail address records maintained by an agency on its own users or on entities or persons it serves.	US		US			

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State Record Series	UTPA Record Code		Active Records	In Storage	Total	Vital	Archival	
5.1.005	GEN 068	Postage Records Records and reports of postage expenses, including postal meter usage.	FE+1	2	FE+3			
5.1.010	GEN 069	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	X		AC = Expiration date of license or permit.
5.1.011	GEN 070	Photocopier and Telefax Use Logs & Reports Includes trouble/repair calls for copiers	AV		AV			
5.1.014	GEN 071	Office Procedures Any internally distributed manuals, guidelines, or similar document that establishes standard office procedures for an agency. Example, agency style manuals, telephone protocols, mailroom procedures, print shop and photocopy ordering instructions.	US+1		US+1			
5.1.015	GEN 072	Correspondence Tracking Records Any record created by an agency to track any type of incoming and outgoing correspondence or package by U.S. Postal Service or by private couriers.	1		1			
5.2.005	GEN 073	Calibration Records (Equipment or Instrument)	10		10			
5.2.007	GEN 074	Damage Reports Reports of damage to state property	FE+1	2	FE+3			

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5.2.008	GEN 075	Equipment History File; Equipment Service Agreements Agreements or contracts between the agency and vendor to provide maintenance service for equipment. Includes requests for installation, moves, services, etc. and service/repair log books etc.	LA+3		LA+3			
5.2.010	GEN 076	Equipment Manuals	LA		LA			
5.2.011	GEN 077	Equipment Warranties	AC+1		AC+1			AC=Expiration of warranty. Proof of purchase is required; therefore the PO, Invoice and payment voucher may be required.
5.2.012	GEN 078	Estimate Files (Supply and Repair Cost Estimates)	1		1			
5.2.014	GEN 079	Inventory-Annual Physical Property, equipment, supply verification.	FE+1	2	FE+3			Each department maintains a copy of its inventory while Assets Management maintains an official copy of the entire inventory of the University.
5.2.018	GEN 080	Quality Control Reports	2		2			
5.2.019	GEN 081	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			
5.2.020	GEN 082	Supply Usage Records – Office, maintenance, other supplies tracked by departments.	FE+1		FE+1			
5.2.025	GEN 083	Equipment Descriptions and Specifications	AC+2		AC+2			AC=Date equipment no longer utilized

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5.2.026	GEN 084	Facilities Reservations Logs Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.	2		2			
5.2.027	GEN 085	Space Utilization Reports	AV		AV			
5.3.004	GEN 086	Order – Acknowledgements	AV		AV			
5.3.008	GEN 087	Purchasing Logs Log, register, etc, providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE+3		FE+3			
5.4.011	GEN 088	Visitor Control Registers Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.	3		3			
5.4.012	GEN 089	Security Access Records Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency or state facilities, equipment or automated systems.	AC+2		AC+2	X		AC=Until superseded, date of expiration, or date of termination, whichever is sooner
5.4.013	GEN 090	Disaster Preparedness and Recovery Plans	US		US	X		
5.5.002	GEN 091	Long Distance Telephone Logs Long distance logs created by agencies for internal documentation purposes. Includes any similar logs created –long distance fax or electronic transmissions.	AV		AV			

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5.5.003	GEN 092		Station Activity Reports Internal listing of incoming/outgoing telephone activity to individual telephone stations	AV		AV		
5.5.004	GEN 093	System Activity Reports Internal listing of incoming/outgoing agency telephones	AV		AV			
	GEN 095	Hold or Encumbrance Authorizations – Student Records	AC		AC			AC=Until released
	GEN 096	FERPA- (Family Educational Rights and Privacy Act) Request and Disclosures of Personally identifiable Information	AC		AC			AC=Life of Affected Records 34 CFR 99
	GEN 097	Family Educational Rights and Privacy Act Data Documents – Requests for Formal Hearings (Students)	AC		AC			AC=Life of Affected Records 34 CFR 99
	GEN 098	FERPA- Student Statements on Content of Records Regarding Hearing Panel Decisions	AC		AC			AC=Life of Affected Records 34 CFR 99
	GEN 099	FERPA Documents (Family Educational and Privacy ACT)	AC+5		AC+5			34 CFR 99 AC=After accepted or rejected
	GEN 100	Students Written Consent for Records Disclosure – FERPA	PM		PM			
	GEN 101	FERPA –Written Decisions of Hearing Panels	AC		AC			AC=Life of affected Record
	GEN 102	Computer Software License Documentation Proof of purchase consisting of Purchase Order, Invoice and Voucher. Also includes software maintenance agreements.	LA+3		LA+3			
	GEN 103	HIPAA –(Health Insurance Portability and Accountability Act) Related Documentation	AC+6		AC+6			Documentation of the release of medical information as required by HIPAA AC=Date of release of information

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Record Coding		Record Series Title	Retention Period			Special Handling		Comments
State Record Series	UTPA Record Code		Active Records	In Storage	Total	Vital	Archival	
	GEN 104		Surveillance Tapes – monitoring of campus areas for security purposes	3 months		3 months		
1.2.016	GEN 105	Disaster Recovery Service Approval Form (RMD 113). Agency copy of form.	AC		AC			AC = Until superseded or termination of service.
2.2.014	GEN 106	Internet Cookies Data resident on hard drives that make use of user-specific information transmitted by the Web server onto the user's computer so that the information might be available for later access by itself or other servers	AV		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	GEN 107	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 records of a user's progress.	AV		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).
2.2.016	GEN 108	Software Registrations, Warranties and License Agreements.	LA+3		LA +3	X		Note: Software purchase records may be required to document licensing where license is shrink wrap or only available via installation process of the software.
5.1.017	GEN 110	Contract Log. List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE +3		FE + 3			

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3.3.027	GEN 111		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		
3.3.028	GEN 112	Aptitude and Skills Tests (Test Papers) Aptitude or skills tests papers of job applicants or of current personnel taking a test to qualify for promotion or transfer.	2		2			29CFR 1602.31 State Agencies 29CFR 1602.49 State Universities
3.3.029	GEN 113	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. 29CFR 1602.31 State Agencies 29CFR 1602.49 State Universities
5.1.007	GEN 114	Requisitions for In-Agency/Inter-Agency Copy/Printing Service Includes word processing and data processing.	AV		AV			
5.1.012	GEN 115	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			
5.2.006	GEN 116	Property Destruction, Certificates of	FE + 3		FE + 3			
5.2.009	GEN 117	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			
5.2.024	GEN 118	Material Specifications	AC+2		AC+2			AC= Materials no longer in the agency

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State Record Series	UTPA Record Code		Active Records	In Storage	Total	Vital	Archival	
5.3.005	GEN 119	Packing Slips	AV		AV			
	GRANT 001	Sponsored Grants and Contracts Includes all reports and correspondence related to Grants & Contracts	AC+2	3	AC+5	X		AC= After Completion of Grants and Contracts. Departments that generate grants and contracts should keep working copies in their offices until the end of the grant/contract. At that point in time G&C's files should be merged with the department's files and stored at the Records Center until final disposition. SEE ALSO: 4.7.008 Federal Grant Records.
	GRANT 002	Time and Effort Report	7		7			UT System
	GRANT 003	Federal Grant Records/Indirect Cost Calculations Includes any federal reports related to grants.	AC+1	2	AC+3			AC= After Completion of Grants. UT System Policy OMB Circular A128 CAUTION: Retention requirements may vary depending on the specific federal funding agency. Includes programs such as CAMP, YOU, HEP, Educational Talent Search, TEXPrep, Mother-Daughter, and Upward Bound that are funded with federal funds. Agencies must ensure that records are retained for the appropriate retention period.
4.7.008	GRANT 005	Federal Grant Records	AC+3		AC+3	X		AC= Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).Sponsored Grants & Contracts CAUTION: Retention requirements may vary depending on the specific federal funding agency. Agencies must ensure that records are retained for the appropriate retention period.

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4.7.011	GRANT004	Texas Building and Procurement Commission Statements (TBPC). Charge or bill statements received by agencies from the TBPC for services provided.	FE+3		FE+3			
	GRST 001	Students Files – Applications for Graduate School admission, correspondence, transcripts, evaluations, translations	PM	PM	PM			
	HONOR 001	Tracking for Honors Program Students	AC+5		AC+5			AC= After graduation or date of last attendance
1.1.002	IAUDI 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.
	INFTE 001	Technology Related Trouble Calls	AV		AV			O=Paper or electronic Includes records related to trouble calls taken by the Computer Center and Technology Resources
1.1.023	IRESE 001	Organizational Charts	US		US		I	
	ISA 001	Foreign Student Forms – Student Records	AC+5		AC+5			AC= After graduation or date of last attendance Office of Record – Office of International Students
	ISA 002	Mexican Tuition Waivers	AC		AC			AC=End of term
	ITAAO 002	IT(Information Technology) Exit Clearance Completed and processed forms plus attachments documenting the removal of access to University Information Resources	AC+3		AC+3			AC=Processing of the termination of access after separation of employee, contractor or other type of affiliate.
	ITAAO 003	Information System/Data Owner Signature Authorization	US + 1		US + 1			Also superseded when owner transfers or terminates or authorizations are renewed.

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	ITDCS 001	Access Request Records Authorizations and specification of the access and privileges assigned to employee and contract users of university information systems.	AC + 3		AC + 3			AC = Separation of employee, contractor, or other affiliate. Records are attached to and retained with exit processing records.
	ITEIS 001	Access Authorization Records Authorizations and specification of the access and privileges assigned to employee and contract users of test instances of university information systems.	AC + 3		AC + 3			AC = Separation of employee, contractor, or other affiliate. Records are attached to and retained with exit processing records.
	ITEIS 002	Exam Log –Optical Scanner Data – Acknowledgement of release of Exam report	FE+1		FE+1			
	ITEIS 003	Release Report – Authorization Receipt- Acknowledgement that departments have received their reports	FE+1		FE+1			
1.2.001	ITRIM 001	Destruction Authorizations. Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE+3		FE+3			
1.2.003	ITRIM 002	Forms History File Print Masters of original version and all subsequent to an agency form, including any associated design or modification requests	AC+1		AC+1			AC=Discontinuance of use of form
1.2.004	ITRIM 003	Forms Inventory Any periodic listing of all forms used internally or externally by an agency.	US		US			
1.2.005	ITRIM 004	Records Retention Schedule (SLR 105) Agency copy. Formerly RMD 105. Includes documentation of certification and approval – Forms SLR 105C and/or other forms designated by the State Records Administrator.	US		US			Original is retained permanently by the State and Local Records Management Division, Texas State Library and Archives Commission.

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1.2.006	ITRIM 009		Records Transmittal Forms Agency copy. (Includes RMD 101, Tx-R-5, 306-58-1, and Agency Storage Forms). Forms indicate records transferred to storage or a transfer of legal custody.	AC + 2		AC+2		
1.2.008	ITRIM 005	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	ITRIM 006	Records Disposition Logs Logs or similar records listing records destroyed or sent to the Archives and Information Services Division, Texas State Library, showing records series title, dates of records and date destroyed or transferred.	10		10			
1.2.012	ITRIM 007	Records Inventory Work Sheets	US		US			
	ITRIM 008	Records Custodian Signature Authorization	FE +3		FE +3			
1.1.055	ITVPO 001	Strategic Plans Information resources and operational strategic plans prepared in accordance with Government Code 2054.095 and 2056.002	AC+3	3	AC+6		I	AC=September 1 st 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. IR strategic plans were replaced with the Information Resources Deployment Review (IRDR) report for universities beginning in 2007
	MAINT 001	Physical Plant Maintenance Records – Outside Contractor	2	5	7			Does not include maintenance records related to hazardous materials.
	MAINT 002	Physical Plant Maintenance Records – In-House Contractor	2	5	7			Does not include maintenance records related to hazardous materials.
5.2.022	MAINT 003	Utility Usage Reports	AV		AV			

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5.6.003	MAINT 004	Inspection Repair and Maintenance Records – Vehicles	LA+1		LA+1			
5.6.004	MAINT 005	License and Driving Record Check	AC		AC			AC = Until superseded or until termination of employment.
5.6.005	MAINT 006	Vehicle Use Reports Includes mileage, fuel/oil consumption, passengers carried and other related operational information	FE+1	2	FE+3			
5.6.007	MAINT 007	Vehicle Titles & Registrations	LA		LA	X		AC=Life of the asset. Titles are maintained for the life of the asset. Registrations are kept until superseded.
4.2.005	MMGMT 001	Purchase Vouchers Requisitions, orders, receiving reports (packing slips), invoices, or statements, change orders, best value determinations, etc. Includes Purchase Requisitions	FE+3		FE+3			Caution: Invoices and Vouchers related to the purchase of software must be kept for the length of time software is utilized. Required to show proof of purchase for software license. See ITEM GEN 102. Records related to the following two record series. ITEMS GEN 077 – Warranties and ITEM ASSET 001 – Asset Records must be maintained for the corresponding retention period.
5.1.001	MMGMT 002	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted, performance bonds, contracts, purchase orders, reports, and correspondence.	AC+1	3	AC+4	X		AC=Expiration of the instrument according to its terms. Comments: See item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.
5.1.003	MMGMT 003	Delivery Reports	2		2			
5.3.003	MMGMT 004	Freight Claims	AC+2		AC+2			AC = Resolution of claim

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5.3.007	MMGMT 005	Bid Documentation Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids and bid tabulation/evaluations.	FE+1	2	FE+3			CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. See Item Number 5.1.001 and 5.2.028.
5.3.009	MMGMT 006	Requests for Information Requests for Information preliminary to the procurement of goods and services by direct purchase or bid. Includes Requests for Qualifications	AC		AC			AC=Date of direct purchase, issuance of bids, or decision not to proceed with the procurement as applicable
	PAYRL 001	Backup documentation for Federal Income Tax Return – Form 990-T Unrelated Business Income Tax	FE+3		FE+3			The actual Federal Income Tax Return – Form 990-T is filed by the UT System Office.
3.2.002	PAYRL 002	Employee Earning Records	4		4	X		40 TAC 815.106(i)
3.2.003	PAYRL 003	Federal Tax Records Includes 1099, W2, FICA and other tax records.	AC+4		AC+4	X		AC=Tax due date, date the claim is filed, or date tax is paid whichever is later. 26 CFR 31.6001-1(e)(2)
3.2.004	PAYRL 004	Income Adjustment Authorizations Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.	2		2	X		29 CFR 516.6(c)
3.2.010	PAYRL 005	Human Resources HRIS Data Transaction/ Exception Reports from Texas State Comptroller	AC+4		AC+4	X		Per Texas State Library Retention Schedule. Maintained by Payroll.

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3.4.001	PAYRL 006	Accumulative 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 accumulation, and to close out leave accounts on separated employees	FE+3		FE+3			
3.4.004	PAYRL 007	Overtime Authorizations	2		2			
3.4.005	PAYRL 012	Overtime Schedules	2		2			
3.4.003	PAYRL 008	Less Than Full-Time Worked Reports	4		4			40 TAC 815.106(i)
3.4.006	PAYRL 013	Time Cards and Time Sheets	4		4			40 TAC 815.106(i)
	PAYRL 009	HRS Payroll Reports All reports generated by the HRS System for payroll process	FE +1	2	FE+ 3			
	PAYRL 010	Texas Workforce Commission – Employer’s Quarterly Report	FE +1	2	FE+ 3			
	PAYRL 011	Backup documentation for employee deduction/benefit – wire transfers – Payroll Expenditure Vouchers	FE +1	2	FE+ 3			
4.6.003	PCOLL 001	Cash Counts	FE+3		FE+3			
4.7.003	PCOLL 002	Returned Check/Warrant/Drafts (uncollectible)	AC+1	2	AC+3			AC=After deemed uncollectible
	PERSO 001	Applicant Activity Forms	AC+5		AC+5			AC=Termination of Employment
	PERSO 002	Employee’s Insurance file	AC+5/50		AC+5/50			AC=Termination of Employment O=Paper electronic or digital See supplemental notes - Personnel Records

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3.1.001	PERSO 003	Applications for Employment – Not Hired Applications, resumes, transcripts, letters of reference, 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 1602.31 (State Agencies) Records 29 CFR 29 CFR 1602.49(a) (State Universities)
3.1.002	PERSO 004	Applications for Employment – Hired Applications, resumes, transcripts, letters of reference, similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC+5		AC+5			AC=Termination of Employment
3.1.011	PERSO 005	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	PERSO 006	Employment Opportunity Announcements Internal or external announcements or advertisements of openings, promotions, training programs, or opportunities of overtime.	2		2			29 CFR 1602.31 (State Agencies) 29 CFR 1602.49 (a) (State Universities)
3.1.013	PERSO 007	Employment Contracts	AC+4		AC+4	X		AC=Expiration or termination of the contract according to its terms.

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3.1.014	PERSO 008	Employment Selection Records Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews; driving record and previous injury check; pre-employment physical examinations, pre-employment drug screening test results, polygraph examination results, and all other records that document the selection process.	2		2	X		29 CFR 1602.31(State Agencies) 29 CFR 1602.49 (a) (State Universities) CAUTION: Does not include criminal history checks. See Item Number 3.1.026.
3.1.018	PERSO 009	Grievance Records Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC+2		AC+2	X		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.
3.1.021	PERSO 010	Personnel Disciplinary Action Documentation Disciplinary actions are those actions which may affect status, or tenure. They are imposed to discipline an employee whose conduct is harmful to 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 or unfavorable communication.	AC+5		AC+5	X		AC=Termination of Employment

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3.1.022	PERSO 011	Personnel Information or Action Forms Forms or similar records used to create/change records of an employee including pay position classification, employee number, evaluation data, and termination of employment	AC+5		AC+5			AC=Termination of Employment 29 CFR 1602.31 (a) State Agencies 29 CFR 1602.49 (a) State Universities
3.1.023	PERSO 012	Position/Job Descriptions Job descriptions, including all associated tasks or skill statements, for positions in an agency	AC+4		AC+4	X		AC = Until superseded or job eliminated. 40 TAC 815.106(i).
3.1.024	PERSO 013	Physical Examinations/Medical Reports Medical or physical examination reports or certificates of employees for whom periodic monitoring of health 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	PERSO 014	Criminal History Checks Criminal history record information on job applicants or employees obtained from the Department of Public Safety.	AC		AC			AC=Criminal history record has served the immediate purpose for which it was obtained. CAUTION: An agency that is authorized to obtain a criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.
3.1.029	PERSO 015	Employment Eligibility Documentation or Verification of Federal Reporting Form (INS I-9)	AC+1		AC+1	X		AC=Termination of Employment CAUTION: Federal regulation requires that INS I-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever is later. Agencies should make certain that the INS I-9 Forms for employees who terminate from agency less than 3 years from date of hire are kept for the 3 year retention period. 8 CFR 274 a.2 (b) (2) (i) (A) and (c) (2).

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3.1.031	PERSO 016		Employee Benefits – Other than Insurance Agency copies of information relating to the selection of available benefit options other than insurance.	AC +2		AC +2	X	
3.1.034	PERSO 017	Resumes – Unsolicited Retention period applies if an agency replies to the sender of a resume that will be kept on file should future jobs occur.	AV		AV			See Item Number 3.1.014 for resumes, whether solicited or not solicited, that are used in any way in the employment selection process
3.1.037	PERSO 018	Employee Recognition Records Awards, incentives, tenure, etc.	AC+5		AC+5			AC=Termination of Employment
3.2.001	PERSO 019	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	X		AC=After termination of employee or after amendment, expiration, or termination of authorization, whichever is sooner.
3.2.005	PERSO 020	W-4 Forms Employer’s copy of “Employees’ Withholding Exemption Certificate”	AC+4		AC+4	X		AC = Until superseded, obsolete, or upon separation of employee. 29 CFR 31.6001-1(e) (2).
3.2.006	PERSO 021	Wage Rate Tables	2		2			29 CFR 516.6(a)(2)
3.2.007	PERSO 022	Unemployment Compensation Records	AC+5		AC+5			40 TAC 815.106
3.2.008	PERSO 023	Direct Deposit Application Authorizations	US		US	X		

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3.2.009	PERSO 024		State Deferred Compensation Records	AC+5		AC+5	X	
	PERSO 025	Individual Personnel Files	AC+50		AC+50			AC=Termination of employment. UT System Policy; See supplemental notes – Personnel Records
3.3.001	PERSO 026	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	PERSO 027	Benefit Plans Employment benefits 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	PERSO 028	Labor Statistics Reports Reports providing statistical information on the labor force.	3		3			
3.3.011	PERSO 029	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	X		AC=Termination of employment
3.3.015	PERSO 030	Positions/Job Classification Review File Records relating to review and monitoring of job classifications within an agency.	US+3		US+3			

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State Record Series	UTPA Record Code		Active Records	In Storage	Total	Vital	Archival	
3.3.022	PERSO 031	Texas Workforce Commission (TWC) Reports Reports to the agency from TWC or its predecessor pertaining to employees.	3		3			
3.3.024	PERSO 032	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	PERSO 033	Job Procedure Records Any documents detailing the procedural duties and responsibilities of agency position by position basis.	US+3		US+3			
3.3.026	PERSO 034	Agency Staffing Reports Any reports compiled by an agency on aspects of personnel staffing, including listing of all staff by program or name, hired during a month or detailed listings of employees within organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US+3		US+3			
3.3.032	PERSO 035	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	X		29 CFR 1620.32
3.4.002	PERSO 036	Leave Status Reports Cumulative report is issued each accrual cycle and provides employee leave status information for each position	FE + 3		FE+3	X		

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State Record Series	UTPA Record Code		Active Records	In Storage	Total	Vital	Archival	
3.4.008	PERSO 037		Sick Leave Pool Documentation Requests submitted, approvals, number of hours out, etc	FE+3		FE+3		
5.4.001	PERSO 038	Accident Reports and Associated Documentation Accident or occupational disease reports (by supervisors, 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+2	3	CE+5	X		29 CFR 1904.33 The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.
3.1.038	PERSO039	Public Access Option Form Form completed and signed by employees or officials, electing to keep home address, home telephone number, social security number and family information open or confidential under the Public Information Act, Government Code §552.024.	US		US	X		SEE item number 3.3.011.
3.1.039	PERSO040	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.
3.1.023	PERSO041	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)
	PLACE 001	Career Placement Records	AC	1	AC+1			AC=Date of Graduation or last date of attendance

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State Record Series	UTPA Record Code		Active Records	In Storage	Total	Vital	Archival	
1.1.027	PRES 002	Proposed Legislation Drafts of proposed legislation and related correspondence.	AV		AV			
	PRES 003	Faculty Tenure Records	AC+5		AC+5			AC=Date of termination of employment See also ACADE 008
1.1.048	PRES 004	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 final decision of a court (or of a court on appeal, if applicable) in a lawsuit. ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the University Archives.
	PROV 001	Faculty Work Load Documentation	4		4			
1.1.019	PUBLI 001	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	
1.1.070	PUBLI002	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 the procedures that govern an agency's programs, services or projects	AC+3		AC+3	X	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071

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1.1.071	PUBLI003	Agency Rules, Policies, and Procedures-Working files. Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies and procedures that govern an agency's programs, services, or projects.	AC+3		AC+ 3	X	O	AC=Completion or termination of program, rules, policies, or procedures. SEE ALSO Records Series Item Number 1.1.070
1.1.072	PUBLI004	Public Information Reports. Reports made to Office of the Attorney General on an agency's Public Information Act activities.	2		2			
1.1.073	PUBLI005	Administrative Hearings. Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes.	AC+3		AC+3		O	AC=Last Action.
1.1.074	PUBLI006	Sunset Review Report and Documentation.	AC+3		AC+3		O	AC=After the subsequent Sunset Review.
1.1.075	PUBLI007	Alternative Dispute Resolutions-Final Agreement. Final agreement described by Government Code §2009.054(c), associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state agency participated as a party on the agency's behalf.	AC+4		AC+4			AC=Date of final agreement. Texas Civil Practice and Remedies Code 154.071
	RECRU 001	Recruitment Materials for Student Applicants	AC		AC			AC=May dispose of materials after enrollment or decision not to enroll.

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State Record Series	UTPA Record Code		Active Records	In Storage	Total	Vital	Archival	
	REGIS 001	Credit/no credit approvals -Student Records	AC+1		AC+1			AC=After date submitted
	REGIS 002	Residency Classification - Student Records (reclassification)	AC+5		AC+5			AC=After date submitted
	REGIS 003	Change of Information (Students) including Social Security changes, name changes, biographical, demographical, and major course of study	AC+1		AC+1			AC=After certification
	REGIS 004	Catalogs-Students Records	PM		PM		I	One copy to be retained I=Internal Archives
	REGIS 005	Enrollment Statistics-Students	PM		PM		I	Must be archived.
	REGIS 006	Credit By Examination Forms, Advance Placement Records	AC+5		AC+5			AC=After date submitted
	REGIS 007	NCAA – (National Collegiate Athletic Association) Records of Student Athletes (active and inactive)	AC+10		AC+ 10			AC=After application term
	REGIS 008	Degree Statistics	PM		PM		I	
	REGIS 009	Schedule of Classes (Institutional)	PM		PM		I	
	REGIS 010	Change of Grade Forms (Update)	PM		PM		I	
	REGIS 011	Enrollment verifications	AC+1		AC+1			AC=After verification
	REGIS 012	Class Lists (Original Grade Sheets)	PM		PM		I	Must be archived.
	REGIS 013	Change of Course (ADD/DROP) – Reinstatement cards/withdrawal authorizations	AC+3		AC+3			AC=After application term
	REGIS 014	Applications for Graduation – Student Records (not graduated)	AC+7		AC +7			AC = After date submitted
	REGIS 015	Application for Graduation – Student Records (degreed students)	AC+5		AC+5			AC=After graduation
	REGIS 016	UTPA (University of Texas Pan American) Student Transcript	PM		PM			O=Paper or electronic

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State Record Series	UTPA Record Code		Active Records	In Storage	Total	Vital	Archival	
	REGIS 017	Student Requests for Nondisclosure of Directory Information	AC+1		AC+1			AC=After graduation
	REGIS 018	Commencement Programs	PM		PM		I	Must be archived
	REGIS 019	Transcript Requests – Students	AC+1		AC+1			AC=After date submitted
	SPEEC 001	Speech and Hearing Student Records	FE+ 1	2	FE+3			O = paper and/or electronic
	SPEEC 002	Speech and Hearing Client Records	AC+2	5	AC+7			Non-Hospital Patient Records – AC= Date of last treatment, or for patients less than 18 years of age when last treated. The patient’s 14 th birthday (so the record is kept at least until the patient’s 21 st birthday) or the date that the patient was last treated whichever date is later. Texas Board of Medical Examiners, 22 Texas Administrative Code Section 165.1(b) and (c).
	STHEA 001	Rental Agreements – Student Health	FE	1	FE+1			Office of Record – Student Health
	STHEA 002	Temporary Handicap Parking Permits	FE		FE			Office of Record – Student Health
	STHEA 003	Consent for Treatment	FE+2	5	FE+7			Office of Record – Student Health
	STHEA 004	Student Medical Records	AC+2	5	AC+7			AC=From date of last clinic visit, or 5 years after child’s 16 th birthday, whichever is later.
	TEST 001	Testing Records These records are Registration Forms for the following Exams: ACT, CLEP, Accuplacer, THEA, TOEFL, MAT & PSB	2	1	3			
5.6.009	UTPD 017	Parking Permits or Assignments	US		US			
	UTPD 001	Incident Reports – Police	3		3			
	UTPD 002	Police Case Reports	PM		PM			

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State Record Series	UTPA Record Code		Active Records	In Storage	Total	Vital	Archival	
	UTPD 003	Personnel Background Information for police These are UTPD personnel background packets for prospective Police Officers; they DO NOT contain Criminal History Checks. Kept on site (department) till after closed +3 yrs.	3		3			
	UTPD 004	Police Disaster Recovery Plan	US		US			O = paper and electronic
	UTPD 005A	Police –Offense Investigation Records Cases Not Cleared. Documents offenses that occur on the university campus that violate state law and regulations. This records series may contain but is not limited to case number, type of report, date, time, complainant or victim, address and details of report.	AC		AC			AC= Statute of limitations has run out. Reference: Local Schedule PS-Retention Schedule for Records of Public Safety Agencies
	UTPD 005B	Police - Offense Investigation Records Misdemeanors and State Jail Felonies. Documents offenses that occur on the university campus that violate state laws and regulations. This records series may contain but is not limited to case number, type of report, date, time, complainant or victim, address and details of report.	AC+10		AC+10			AC= Cases Cleared Reference: Local Schedule PS-Retention Schedule for Records of Public Safety Agencies
	UTPD 005C	Police - Offense Investigation Records First degree and capital felonies. Documents offenses that occur on the university campus that violate state laws and regulations. This records series may contain but is not limited to case number, type of report, date, time, complainant or victim, address and details of report.	AC+50		AC+50			AC= Cases Cleared Reference: Local Schedule PS- Retention Schedule for Records of Public Safety Agencies

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State Record Series	UTPA Record Code		Active Records	In Storage	Total	Vital	Archival	
	UTPD 005D	Police - Offense Investigation Records Second and third degree felonies. Documents offenses that occur on the university campus that violate state laws and regulations. This records series may contain but is not limited to case number, type of report, date, time, complainant or victim, address and details of report.	AC+10		AC+10			AC=Cases Cleared Reference: Local Schedule PS- Retention Schedule for Records of Public Safety Agencies
	UTPD 006	UCR –(Uniform Crime Report) System Police Reports – Annual	PM		PM			
	UTPD 007	UCR –(Uniform Crime Report) System Police Reports – Monthly	FE+1	2	FE+3			
	UTPD 008	Cadet Entrance Exams	FE+1	2	FE+3			
	UTPD 010	Agreements-Parking Violations	FE	2	FE+2			
	UTPD 011	Parking Citations – UTPA –(University of Texas Pan-American)	AC+1	1	AC+2			AC=After citation is paid in full
	UTPD 012	Application for Parking Permit	FE+1	1	FE+2			
	UTPD 013	Daily Cashier Reports	FE	3	FE+3			
	UTPD 014	Parking Citation Appeals	FE+1	2	FE+3			
	UTPD 015	Juvenile Case Reports Juvenile court records/ case reports are sealed permanently on site (UPD)	FE	PM	PM			
	UTPD 016	Motorist Assist Forms	FE		FE			
	UTPD 018	EMS –(Emergency Medical Services) Refusal Service – Refusal of Emergency Medical Services – Student or Staff/Faculty sign this when they refuse EMS		AC+6 years + 3 months	AC+6 years +3 months			AC = After closed, completed, settled

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State Record Series	UTPA Record Code		Active Records	In Storage	Total	Vital	Archival	
	UTPD 019	Uniforms & Equipment Request Form – used to issue out equipment such as belts, holster, handcuff case, flashlight, jackets, raincoats and badges to police officers and public safety officers	AC	3 months	AC+3 months			AC = Termination of employment
	UTPD 020	Traffic Citation Form – used to issue moving violations to Student/ Staff/ Faculty and Visitors when failing to follow traffic rules. These forms are numbered and issued and signed our numerically. These forms are in triplicates, the white copy goes to the Edinburg Municipal Court, yellow copy goes to the violator and the pink copy is PD’s copy.	FE	5	FE+5			
	UTPD 021	Request for Service Form – used to request services for security personnel at events and /or locking/unlocking entry to buildings and /or classrooms	AC	1	AC+1			AC = After Completed
	UTPD 022	Request for Gate Access Form – used by Parking & Traffic Services to request access to the gate located in front of the COAS building	AC	2	AC+2			AC= After Completed
	UTPD 023	Monthly Count for Temporary Permits – used for monthly report of temporary parking permits	FE	1	FE+1			
	UTPD 024	Lost Parking Permit or Key Report – used to declare lost parking permits or lost keys	FE	3	FE+3			
	UTPD 025	Request to Appeal Traffic Citation – used to appeal traffic citations	FE	3	FE+3			
	UTPD 026	Refund Form – used for parking permit refunds for Faculty/Staff and Students	FE	3	FE+3			

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State Record Series	UTPA Record Code		Active Records	In Storage	Total	Vital	Archival	
	UTPD 027	Bicycle Registration Form – used by Parking & Traffic Services to register all bicycles on campus for identification purposes	2		2			
	UTPD 028	Parking & Traffic Agreement Form – used by Parking & Traffic Services to make payments on citations issued when a Student/Staff/Faculty can't pay the full amount at once	3		3			
	UTPD 029	Property Release Form – used to release case information to the victim and /or insured	AC	5	AC+5			AC= After Closed, Terminated, Completed, Settled
	UTPD 030	Citation Dismissal Form – used by Students/Faculty/Staff and Visitors to have the first citation issued dismissed.	AC	5	AC+5			AC = Date of Submission
	UTPD 031	Public Safety Officer – Field Training Program – used to rate probationary PSO on knowledge, appearance, attitude, and performance tasks	AC	5	AC+5			AC = After Termination of employment
	UTPD 032	Personal History Statement – questionnaire of personal history, address, employers, education, arrests, traffic records, financial history for a prospective applicant who is being considered for a position with the Police Department	AC	5	AC+5			AC = After Termination of employment
	UTPD 033	Conditional Officer of Employment – used when a prospective applicant is being considered for a position with the Police Department. 1 st part of the employment package	AC	5	AC+5			AC = After Termination of Employment
	UTPD 034	Lost and Property Records Report – Lost item property card, Found item property cards, and Surplus/Return to owner	FE+1	2	FE+3			

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	UTPD 035	Polygraph Authorization – used to request an examination of the polygraph when a prospective applicant is being considered for a position with the Police Department. This is the 6 th part of the pre-employment conditional offer package	2		2			
	UTPD 036	Pre-Employment Polygraph Questionnaire – an 18 page pre-test questionnaire for the polygraph test when a prospective applicant is being considered for a position with the Police Department. This is the 6 th part of the pre-employment conditional offer	2		2			
	UTPD 037	Departmental Inspection Form – A check off list of departmental standards that are given to all new police officers to keep them informed of policies, procedures and organizational structure of the police department. This form keeps everyone informed in their record keeping, training and etc... part of their hiring packet	AC	3	AC+3			AC = After Termination of employment
	UTPD 038	Oath of Office – used for all new police officers stating that they agree to uphold, preserve, protect and defend the Constitution and the laws of the United States of America. Part of their hiring packet	AC	5	AC+5			AC = After Termination of employment
	UTPD 039	Policy on the Use of Firearms – A form stating the policy on use of a firearm provided to new hire of police officer	US	1	US+1			
	UTPD 040	Evidence Organized/Background Investigation Form – A 19 page packet used to gather information on prospective new hire of police officer	AC		AC			AC = After Termination of employment

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	UTPD 041	Final Student Evaluation of a Cadet – A form listing a student’s academic performance and comparison to the class	3		3			
	UTPD 042	Evidence Summary of Background Investigation – A form used to summarize and evaluate all information gathered on a prospective new hire for a police officer	AC	5	AC+5			AC = After Termination of employment
	UTPD 043	Inspect of Data (DP#17) – A form used to inspect and account for # of UT residence halls/apartments under university police jurisdiction in comparison to number of police personnel	AC	3	AC+3			AC = After completion of report.
	UTPD 044	Field Training Program R.O.P.E – A form used to rate/evaluate tasks such as driving performance, knowledge, attitude, appearance of a probationary officer by his Field Training Officer (FTO)	5		5			
	VETAD 001	Veterans Administration Certification (students)	AC+3		AC+3			AC=After Graduation or date of last attendance Office of Record – Veterans Administration Office
	VPBA 001	Patents, trademarks, copyrights and documentation (e.g., research records, reflecting usage and the like)	AC+2	18	AC+20			Includes underlying patents, trademarks, and copyrights 3 USC 154
	VPBA 002	Deeds and other documents reflecting title	LA		LA			LA=Life of Asset - Original files maintained by UT System Real Estate Office

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1.1.004	VPBA 003		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		
1.1.020	VPBA 004	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 filled.
1.1.021	VPBA 005	Public Information Request-Exempted Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code).	AC+2		AC+2			AC=Date of Notification that records are exempt.
	VPBA 006	Litigation Files Records retained in the Business Affairs Divisional Office that were created by or on behalf of UTPA in anticipation of, or in the adjudication of a lawsuit.	AC+1		AC+1			AC=As applicable – Decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter. Dismissal of a lawsuit for want of prosecution or on motion of the final decision of a court in a lawsuit.
5.2.001	VPBA 007	Appraisals – Building or Property	AV		AV	X	O	
5.2.004	VPBA 008	Building Space Requests	1		1			

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