

May 11, 2021



Venu Nair
Records Management Officer
UT at San Antonio, Office of Legal Affairs
One UTSA Circle
San Antonio, TX 78249-1644

Dear Mr. Nair,

Your agency's records retention schedule is approved for use as of **May 5, 2021**, and it may be accessed on our website at <https://www.tsl.texas.gov/slrn/state/schedules>. Please ensure that all old copies of the schedule are superseded with this certified copy.

This approved retention schedule provides you with continuing authorization to dispose of agency records according to its terms. Please note that state rules (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. 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 according to a timeline established by the Texas State Library and Archives Commission. Your next recertification is scheduled for **May 2026**.

During a certification period, changes may need to be made to your schedule. State rules (13 TAC §6.4) also allow for the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, or if you have any other questions, please contact the Government Information Analyst assigned to your agency:

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

Your efforts in developing a records retention schedule are appreciated. It not only helps to ensure the integrity of your recordkeeping practices, but it is also essential to the success of your records management program.

Sincerely,

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

Craig Kelso
Director and State Records Administrator

cc: Agency head

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

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TSLAC

*Preserving yesterday
Informing today
Inspiring tomorrow*



STATE OF TEXAS
Records Retention Schedule Certification

SLR 105C

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

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 743
 Agency Name University of Texas at San Antonio


(Check one)

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

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

(Check one)

- Agency Head
- Records Management Officer

Signature 
 Name (Print or type) John P. Danner
 Date 07/24/19

Section 2. Approvals


(Submitting agencies do not write in this section)

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

Signature _____
 Name (Print or type) _____
 Date _____

Not Required at This Time

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

Signature 
 Name (Print or type) Gloria Meraz
 Date 5/5/2021

Cert/Recert No. 8 Amendment No. _____

CAUTION

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

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

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

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





STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end
 FE – Fiscal year end
 LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

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

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
Section 1.1 Administration Records - General											
1.1.102	1.1.002	Audits	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	14			AC=Publication or release of final audit findings.		The State Auditor’s Office retains any copies of its audits performed on Texas state agencies.	
1.1.104	1.1.004	Biennial Budget Requests / Legislative Appropriation Requests (LARs)	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC	6			AC = September 1 of odd-numbered calendar years.	I	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the requests to the University Archivist. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.	
1.1.106	1.1.006	Complaint File Records	From employees and others concerning the institution and records pertaining to the resolution of the complaint.	AC	2			AC=Final disposition of the complaint.		CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048.	
1.1.107	1.1.007	Correspondence - Administrative	Incoming/outgoing and internal correspondence/email from executive staff, board or commission members, division directors and/or program heads pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or project of an institution and the administrative regulations, policies, and procedures that		4				O	ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the University Archivist when these records have met their retention periods. CAUTION: This record series and item number 1.1.008	



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1.1.108	1.1.008	Correspondence - General (Non-administrative)	Incoming/outgoing and internal correspondence/email, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an institution.		2					SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.	
1.1.110	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	1				O		
1.1.111	1.1.011	Executive Orders	Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an institution.	US	3				I		



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1.1.113	1.1.013	Calendars, Appointment and Itinerary Records	Calendars, appointment books or programs and scheduling, or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.	CE	1				O	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 Archivist when these records have met their retention periods. CAUTION: A record of this type purchased with personal funds, but used by a state official 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.	
1.1.114	1.1.014	Legal Opinions and Advice	From agency legal counsel or the Attorney General, including any requests eliciting the opinions	AV					O	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048.	
1.1.119	1.1.019	Public Relations Records	News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.		2				O		



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1.1.120	1.1.020	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	2			AC=Date Request Fulfilled			
1.1.121	1.1.021	Public Information Requests - Exempted	Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code).	AC	2			AC=Date of notification that records are exempted.			
1.1.123	1.1.023	Organization Charts		US					I		
1.1.124	1.1.024	Planning Records	Plans and records relating to the process of planning new or redefined programs, services or projects of an institution that are not included in or directly related to other records series in this schedule.	AC	3			AC=Decision made to implement or not to implement result of planning process.	O	ARCHIVES NOTE: Data processing planning records are not archival.	
1.1.124.1	1.1.024	Data Processing Planning Records	Reports, Studies & Analyses	AC	3			AC=Decision made to implement or not to implement results of planning process			
1.1.124.2	1.1.024	Long- and Short-Range Data Processing Plans		AC	3			AC=Decision made to implement or not to implement results of planning process	O		
1.1.126	1.1.026	Texas Register Submissions	Copies of all proposed, withdrawn, emergency, and adopted rules; open meeting notices; or any other documents required by law to be submitted to the Texas Register.	AC	1			AC=Date of publication in the Texas Register			



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1.1.127	1.1.027	Proposed Legislation	Drafts of proposed legislation and related correspondence.	AC	2			AC = End of Legislative Session			
1.1.138	1.1.038	Reports, Studies, and Surveys - Final (non-routine or special) / Customer Surveys	Surveys returned by the customer or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	3			AC = Final disposition of summary report.		SEE item number 1.1.067 for summary reports compiled from customer surveys.	
1.1.140	1.1.040	Speeches, Papers and Presentations	Notes or text of speeches, papers or presentations delivered in conjunction with agency work.	AC	2			AC=End of event until obsolete	O		
1.1.141	1.1.041	Suggestion System	Suggestions submitted by institution personnel and responses.		1						
1.1.143	1.1.043	Training Manuals	Instructional materials developed by an institution for training entities or individuals it regulates or serves.	US	1				O		
1.1.148	1.1.048	Litigation Files	Records created by or on behalf of an institution in anticipation of or in the adjudication of a lawsuit. (Also includes files/records related to formal complaints filed with the Equal Employment Opportunity Commission (EEOC) of the U.S. Department of Labor.)	AC	10			AC=As applicable, decision of an institution not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	O	All statutes of limitations must have been met before file is closed. ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the University Archivist for archival preservation.	



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					Years	Months	Days				
1.1.153	1.1.053	Registration Logs	Logs or similar records used to register persons appearing before state agencies as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission	AC				AC = Report filed with the Texas Ethics Commission			
1.1.155	1.1.055	Strategic Plans	Includes information resources and operational strategic plans prepared in accordance with Tex. Govt. Code, §§ 2054.095 and 2056.002.	AC	6			AC=September 1st of odd-numbered calendar years.	I	UTSA retains the permanent Record Copy and sends required copies to the University Archivist.	
1.1.156	1.1.056	ADA (Americans with Disabilities Act) Documentation	Self evaluations and plans documenting compliance with Americans With Disabilities Act.		3						28 Code of Federal Regulations (CFR) 35.105(c)



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1.1.157	1.1.057	Transitory Information	Records of temporary usefulness that are not an integral part of a record series of an agency, that are not regularly filed within an agency's record-keeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of it ongoing record series. Transitory records are not essential to the firm and statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hardcopy, etc.) are routine messages; telephone message notification; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to the enclosures; and similar routine information used for communications, but not for the documentation of a specific agency transaction.	AV						CAUTION: records management officer should use caution in assigning this record series item number to records of an agency to make certain they are not part of another record series listed in the schedule or, for record series unique to an agency, are not part of a record series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented to distraction signoffs (1.2.001) or records disposition logs (1.2.010), but agency should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	



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					Years	Months	Days				
1.1.158	1.1.058	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					I	ARCHIVES NOTES: Agency retains permanent record copy. The archival requirement will be met by sending a copy to the University Archivist. CAUTION: This records series and item number 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.	
1.1.159	1.1.059	Meetings, Certified Agendas or Tape Recordings of Closed	Certified agendas or tape recordings of closed meetings of state boards, commissions, committees, and councils.	AC	2			AC=The date of the meeting or completion of pending action involving the meeting, whichever is last.		SEE caution comment at item number 1.1.058.	Government Code, 551.104(a).



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					Years	Months	Days				
1.1.160	1.1.060	Meetings, Audio or Videotapes of Open	Audio or videotapes of open meetings of state boards, commissions, committees, etc.	AC			90	AC = Official Approval of written minutes of the meeting.	O	CAUTION: Minutes of state agencies are permanent records. Audio and videotapes are not permanent media. State agencies may not retain audio or videotape of the meetings of governing bodies in lieu of written minutes. The proceedings of all meetings of state boards, committees, commissions, and councils must be reduced to writing. SEE caution comment at item number 1.1.058.	
1.1.161	1.1.061	Meeting - Notes	Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC			90	AC=Approval of the formal minutes by the governing body.		SEE caution comment at item number 1.1.058.	
1.1.162	1.1.062	Meetings - Supporting Documentation	Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.		2				I	SEE caution comment at item number 1.1.058.	
1.1.163	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal staff meetings.		1						



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					Years	Months	Days				
1.1.164	1.1.064	Agency Performance Measures Documentation	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE	3					CAUTION: The FE+3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.	
1.1.165	1.1.065	Reports, Studies, and Surveys - Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV						CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. SEE especially item number 1.1.064.	
1.1.166	1.1.066	Reports - Annual and Biennial Agency - Record Copy	Biennial and Annual narrative reports to the governor and legislature as required.	AC	6			AC=September 1 of odd-numbered calendar years.	I	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the reports to the University Archivist.	
1.1.167	1.1.067	Reports - Administrative or By Consultants or Committees (not including fiscal records)	Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes Energy Management Reports and other reports distributed either internally or to other entities.		3				O		



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1.1.168	1.1.068	Reports on Performance Measures	Quarterly and annual reports on institution performance measures submitted to the executive and legislative offices.	AC	10			AC=September 1st of odd-numbered calendar years.	O	UTSA retains the permanent Record Copy.	
1.1.169	1.1.069	Reports - Employee (activity and production type reports)	Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.		1					CAUTION: See item number 1.1.064	
1.1.170	1.1.070	Agency Rules, Policies, and Procedures - Final	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services or projects.	AC	10			AC=Completion or termination of program, rules, policies or procedures.	O	SEE ALSO: Item number 1.1.071	
1.1.171	1.1.071	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 for the public or for those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern and agencies and programs, services or projects	AC	10			AC = completion or termination of program, rules, policies or procedures.	O	SEE ALSO: item number 1.1.070	



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1.1.173	1.1.073	Administrative Hearings	Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes.	AC	3			AC=Last Action	O		
1.1.175	1.1.075	Alternative Dispute Resolutions - Final agreement	Final agreement described by Government Code Chapter 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	5			AC = Date of final agreement.			Texas Civil Practice and Remedies Code, Chapter 154.071.
1.1.176		Artifact Loan Condition Forms		PM							
1.1.177		Artifact Owner Records		PM							
1.1.178		Consulting Approval Request		FE	3						
1.1.179		Deeds and Other Legal Documents Reflecting Legal Title	Property deeds, appraisals, surveys, description of property and all other supporting documents.	LA						Note: documents of ownership of vehicles are retained per 5.6.007.	
1.1.180		Legal Correspondence	Not related to litigation	AC	2			AC = After matter closed / completed.	O	Note: If correspondence relates to a matter in litigation, see 1.1.048.	
1.1.181		Organizational Memberships		US	3						



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1.1.182		Patents, Trademarks and Related Documents	Any documents relating to a patent or trademark.	AC	20			AC = Date of filing.	O		
1.1.183		Copyrights and Related Documents	Any documents relating to a copyright (whether officially registered with the US Patent and Trademark Office or not).	PM					I		
1.1.184		Preliminary Summary Report	Possible claim under Texas Tort Claims Act	AC	5			AC = After incident closed or claim settled.		Note: If matter leads to litigation see 1.1.048.	
1.1.185		Project Logbooks		AC	3			AC = Terminated		CAUTION: Grants and sponsors may have individuals guidelines for retention. Records must be retained in accordance with guidelines of grant or contract.	
1.1.186		Subpoenas	Legal documents requiring recipient to appear in court to testify, or to produce records to be used in litigation.	AC	1			AC = After closed/completed	I		
1.1.187		Release / Indemnity Agreement Form	Executed (signed) release/indemnity forms.	AC	5			AC = After event/matter closed or completed, or after release is no longer necessary, ie. photo release, where photo is no longer in use/publication.			
Section 1.2 Administration Records - Management											
1.2.101	1.2.001	Destruction Authorizations	Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE	3						



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					Years	Months	Days				
1.2.103	1.2.003	Forms History File	Print masters of original version and all subsequent revisions to an institution form, including any associated design or design modification requests.	AC	2			AC=Until superseded or use of form is discontinued			
1.2.104	1.2.004	Forms Inventory	Any periodic listing of all forms used internally or externally by an agency.	US							
1.2.105	1.2.005	Records Retention Schedule	UTSA copy of SLR 105. Includes documentation of certification and approval - forms SLR 105C, and/or other forms designated by the State Records Administrator.	US						Original is retained by Texas State Library and Archives Commission.	
1.2.106	1.2.006	Records Transmittal Forms - UTSA Copy	Forms indicate records transferred to storage or a transfer of legal custody.	AC	2			AC=Date of authorization for destruction, permanent transfer from storage, or transfer to the University Archivist.			
1.2.108	1.2.008	Request for Authority to Dispose of State Records (RMD 102)	UTSA Copy	FE	3					Original is retained by SLRMD of Texas State Library and Archives Commission.	
1.2.110	1.2.010	Records Disposition Logs	Logs or similar records listing records destroyed or transferred to the University Archivist, showing records series title, dates of records, and date destroyed or transferred.		10						
1.2.111	1.2.011	Record Center Storage Approval Forms	UTSA copy.	US							
1.2.112	1.2.012	Records Inventory Worksheets		US							



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1.2.113	1.2.013	Records Control Locator Aids	Includes indexes, card files, shelf lists, registers, guides, etc.	AC				AC = When control aid is updated, revised, or no longer needed.			
1.2.114	1.2.014	Records Management Plan	Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US	1						
Section 1.3 Administration Records - Publications											
1.3.101	1.3.001	Institution Publications - Record Copy (Not University Catalogs)	One copy of each institution publication except a publication that is subject to a different retention period in this schedule.	AC	2			AC=Until superseded or obsolete.	I	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. SEE 6.4.108 for University Catalogs.	



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1.3.102	1.3.002	Publication Development Files	Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the institution.	AV					O		
Section 1.4 Administration Records - Academic Administration Records											
1.4.100		Accreditation Files		PM					I	May be transferred to the University Archivist after 10 years but must be maintained permanently.	
1.4.101		Completed Class Tests and Examinations, Students' Course Papers		AC	1			AC=Academic term		CAUTION: Coursework under dispute may not be destroyed until the resolution of the dispute.	
1.4.102		Course Syllabus/Outlines Files		AC	2			AC=End of semester in which course is taught.			
1.4.103		Curriculum Files, Including Revisions, Central Administrative		US	5				O	Review before disposal as some may merit permanent retention for historical reasons.	
1.4.104		Curriculum Files, including Revisions, Departmental		US	5				O	Review before disposal as some may merit permanent retention for historical reasons.	
1.4.105		Instructor Grade Books		AC	5			AC=Academic term			



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1.4.106		Instructor Grade Sheets	Grade sheets submitted by instructors, advanced credit posting authorizations, and grade rolls or similar input documentation used in posting grades or credit data to transcripts	AC	5			AC=Academic term			
1.4.107a		Instructor/Faculty Evaluations (Non Tenure Track Faculty)	This series documents students' evaluations of non-tenure track teaching personnel and is used to help determine faculty promotion, merit increases and/or to review instructional courses and programs. These records provide students' opinions on faculty members' familiarity with current literature of the discipline, preparation, assignments, examinations, lecture styles, willingness to engage in dialogue, and availability. Records include: bubble forms (input documents); course reaction; inventory printouts; statistical tabulation; summary reports; and related documentation and correspondence.	AC	3			AC = After course is completed			



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1.4.107b		Instructor/Faculty Evaluations (Tenure Track Faculty)	This series documents students' evaluations of tenure track teaching personnel and is used to help determine faculty promotion, merit increases and/or to review instructional courses and programs. These records provide students' opinions on faculty members' familiarity with current literature of the discipline, preparation, assignments, examinations, lecture styles, willingness to engage in dialogue, and availability. Records include: bubble forms (input documents); course reaction; inventory printouts; statistical tabulation; summary reports; and related documentation and correspondence.	FE	7						
1.4.108		Leave Forms and Travel Files, Faculty		FE	3						
1.4.109		New Course Proposals File, Central Administrative		AC	5		AC=Academic term	O	Note: Review before disposal as some may merit permanent retention for historical reasons.		
1.4.110		New Course Proposals File, Departmental		AC	5		AC=Academic term	O	Note: Review before disposal as some may merit permanent retention for historical reasons.		
Section 2.1 Electronic Data Processing Records - Automated Applications											



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2.1.101	2.1.001	Automated Files - Processing Files	Machine-readable files used in the creation, utilization, and updating of master files, including printing, raw data input, maintenance and test, working, and transactional files.	AC				AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are deducted 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 record series listed elsewhere.	
2.1.102	2.1.002	Automated Files - Master Files	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC				AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are deducted 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 record series listed elsewhere.	
2.1.107	2.1.007	Software Programs and Job Control Language	Automated software applications and operating system files including job control language, program listing/source code, etc.	AC	20			AC=Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.



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2.1.108	2.1.008	Hardware Documentation Automated Applications	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC				AC=Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.



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2.1.109	2.1.009	Technical Documentation	Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	AC				AC=Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94



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2.1.110	2.1.010	Audit Trail Records	Files needed for electronic data audits such as those showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC				AC=All audit requirements have been met			
2.1.111	2.1.011	Finding Aids, Indexes and Tracking Systems	Automated indexes, lists, registers and other finding aids used to provide access to the hard copy and electronic records.	AC				AC=The related hard copy or electronic records have been destroyed.		CAUTION: These records must carry the same retention period and archival code of the records they support.	
2.2.101	2.2.001	System Monitoring Records	Electronic files or automated logs created to monitor computer systems such as print spool logs, tape activity logs, etc.	AV							
Section 2.2 Electronic Data Processing Records - Computer Operations											
2.2.102	2.2.002	Chargeback Records to Data Processing Services Users	Records used to document, calculate costs, and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.	FE	5						
2.2.104	2.2.004	Computer Job Schedules and Reports	Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.			3				Note: These may be kept longer if they possess additional administrative value.	



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2.2.110	2.2.010	Data Processing Policies and Procedures	Manuals, guidelines or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.	US	3					CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number 2.1.009.	
2.2.111	2.2.011	Batch/Data Entry Control Forms/Log	Forms and logs used to reconcile batches submitted for processing against batches received and processed.	AC				AC=When reconciliation confirmed.			
2.2.112	2.2.012	Output Records for Computer Production (Mini and Mainframe)	Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV						Output may be either in printed or magnetic form. If magnetic, the files, programs and documentation must be available.	
2.2.113	2.2.013	Quality Assurance Records	Information verifying the quality of system, hardware or software operations including records of errors or failures and the loss of data resulting from such failures, documentation of abnormal termination and of error free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy.	AC				AC=No longer needed as an audit trail for any records modified			



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2.2.114	2.2.014	Internet Cookies	Data resident on hard drives that make use of user-specific information transmitted by the Web server onto the user's computer so that the information might be available for later access by itself or other servers.	AV						The disposal of Internet cookies need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	
2.2.115	2.2.015	History Files-Web Sites	A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.	AV						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).	
2.2.116	2.2.016	Software Registrations, Warranties and License Agreements		LA	3						
Section 3.1 Employment Records - Employee Records											



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3.1.101	3.1.001	Applications for Employment - Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.		3						41 CFR 60-300.44 and 41 CFR 60-741.44 (Federal Affirmative Action, Veterans); 29 CFR 1602.31 (State Agencies); 29 CFR 1602.49(a) (State Universities)
3.1.102	3.1.002	Applications for Employment - Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC	5			AC=Termination of Employment			
3.1.106	3.1.006	Employee Counseling Records	Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems.	AC	3			AC=Termination of Counseling			
3.1.111	3.1.011	Employee Insurance Records	Copies of information relating to the selection by employees of life, disability, health, and other types of insurance.	AC	5			AC=Until superseded or termination of employment.		CAUTION: Documents that serve as payroll deduction authorization must be maintained for the retention period prescribed for item number 3.2.001.	



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3.1.112	3.1.012	Employment Opportunity Announcements	Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.		2						29 CFR 1602.31 (State Agencies) 29 CFR 1602.49(a) (State Universities)
3.1.113	3.1.013	Employment Contracts		AC	7			AC=Termination of Employment			
3.1.114	3.1.014	Employment Selection Records	Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving records, and previous injury checks, pre-employment physical examinations, pre-employment drug testing, polygraph examination results; and all other records that document the selection process.		3					CAUTION: Does not include criminal history checks. SEE item number 3.1.026.	41 CFR 60-300.44 and 41 CFR 60-741.44 (Federal Affirmative Action, Veterans); 29 CFR 1602.31(State Agencies), 29 CFR 1602.49(a) and Texas Government Code §411.094(e) (State Universities)
3.1.118	3.1.018	Grievance Records	Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC	5			AC=Final decision on the grievance.		CAUTION: Does not include formal complaints filed by an employee with the Equal Employment Opportunity Commission (EEOC) of the U.S. Department of Labor. See Item Number 1.1.048.	
3.1.119	3.1.019	Performance Appraisals			2						29 CFR 1620.32(c)



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3.1.120	3.1.020	Personnel Corrective Action Documentation	Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	AC	5			AC=Termination of Corrective Action.		CAUTION: If, during the retention period of this 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 retention period described by item number 3.1.021.	
3.1.121	3.1.021	Personnel Disciplinary Action Documentation	Disciplinary actions are those actions which may affect pay, status, or tenure.	AC	5			AC=Termination of Employment			
3.1.122	3.1.022	Personnel Information or Action Form (Form 500)	Forms or similar records used to create or change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment.	AC	5			AC=Termination of Employment			29 CFR 1602.31 (State Agencies) 29 CFR 1602.49(a) (State Universities)
3.1.123	3.1.023	Position/Job Descriptions (for individuals; classified and nonclassified positions)	Job descriptions, including all associated task or skill statements.	AC	5			AC=Until superseded or job eliminated.			40 TAC 815.106(i)



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3.1.124	3.1.024	Physical Examinations/ Medical Reports	Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required. (not to include pre-employment physicals)	AC	2			AC=Until superseded or termination of employment.		CAUTION: Does not include pre-employment physical examinations. SEE item 3.1.014.	
3.1.126	3.1.026	Criminal Background Checks (CBCs)	Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC				AC=The criminal history record has served the immediate purpose for which it was obtained.		CAUTION: An agency that is authorized to obtain 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.	
3.1.127	3.1.027	Training and Educational Achievement Records	Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC	5			AC=Termination of Employment			
3.1.129	3.1.029	Documentation or Verification of Employment Eligibility	Federal reporting form (INS I-9)	AC	1			AC=Termination of Employment		CAUTION: Federal regulation requires that INS I-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever is later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period.	See 8 CFR 274a.2.



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3.1.131	3.1.031	Employee Benefits - Other than Insurance	Agency copies of information relating to the selection of available benefit options other than insurance.	AC	2			AC=Until superseded or termination of employment.		CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	
3.1.134	3.1.034	Resumes - Unsolicited	Retention period applies if replies are made to the sender of resume stating that it will be kept on file for future job openings.	AV						SEE item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.	
3.1.135a	3.1.035	Performance Bonds / Surety Bonds (Executed, renewed, or amended on or after September 1, 2015)	Bonds posted by employees and individuals or entities under contract with an institution for the performance of the duties of a position or the terms of a contract with the institution. <i>a) Executed, renewed, or amended on or after September 1, 2015.</i>	AC	7			AC=Expiration or termination of the bond according to its terms.		CAUTION: Does not include construction or architectural surety bonds. SEE item numbers 5.2.028 Building Construction Contracts and 5.1.001 Contracts and Leases.	Government Code, 441.1855
3.1.135b	3.1.035	Performance Bonds / Surety Bonds (Executed, renewed, or amended on or before August 31, 2015)	Bonds posted by employees and individuals or entities under contract with an institution for the performance of the duties of a position or the terms of a contract with the institution. <i>b) Executed, renewed, or amended on or before August 31, 2015.</i>	AC	4			AC=Expiration or termination of the bond according to its terms.		CAUTION: Does not include construction or architectural surety bonds. SEE item numbers 5.2.028 Building Construction Contracts and 5.1.001 Contracts and Leases.	Government Code, 441.1855



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3.1.136	3.1.036	Apprenticeship Records	Summary of applicant qualifications, evaluation basis for selection or rejection, original applications, job assignments, promotions, separations, layoffs, terminations, compensation records, conditions of work, time records, hours of training provided (separate from labor), minority status, and gender of all selected and rejected applicants.		5						29 CFR 30.8(e)
3.1.137	3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc. (A copy of such letter/notice should be maintained in the employee's individual personnel file.)	AC	5			AC=Termination of Employment		CAUTION: Does not include full faculty promotion/tenure review files. See 3.1.143.	
3.1.138	3.1.038	Public Access Option Form	Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code 552.024.	US						SEE item number 3.3.011	



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3.1.139	3.1.039	Ombudsman Records, Faculty/Staff	Consultation records, notes, letters, memos, emails, reports and other documentation.	AC				AC=Final decision or matter closed.		CAUTION: Does not include formal complaint filed with the EEOC or other governmental agency. 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.	
3.1.140		Certificates of Age (minor workers)		AC	5			AC=Worker Reaches Majority			
3.1.141		Employee Career Planning Records		AV							
3.1.143		Faculty Promotion and Tenure Review Records (Promotion File)	Evaluations, recommendations, and similar documentation relating to the review process for promotion or tenure for all faculty or staff in tenure track positions.	AC	2			AC = date of grant or denial of promotion in the tenure track or date of the determination of the appeal if an appeal is made. [Provost/ VPAA office should confirm with Legal Affairs that no claims/litigation are pending.]		JC3850-06. NOTE: A copy of the letter granting or denying promotion/tenure, and any final determination letter regarding an appeal, should be maintained in the employee's individual personnel file in accordance with 3.1.137 and 3.3.135, 3.3.136 or 3.3.137.	
Section 3.2 Employment Records - Payroll											



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3.2.101	3.2.001	Employee Deduction Authorization	Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC	4			AC=After termination of employee or after amendment, expiration, or termination of authorization, whichever is sooner.			
3.2.102	3.2.002	Employee Earnings Records			4						40 TAC 815.106(i)
3.2.103	3.2.003	Federal Tax Records	Includes 1099, W2, FICA, and other tax records.	AC	5			AC=Tax due date, date claim is filed, or date tax is paid whichever is later.		(Retention is based from return, paid or claim date)	26 CFR 31.6001-1(e)(2)
3.2.104	3.2.004	Income Adjustment Authorization	Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.		2						29 CFR 516.6(c)
3.2.105	3.2.005	W-4 Forms	Employer's copy of "Employee's Withholding Exemption Certificate."	AC	5			AC=Until superseded, obsolete, or upon separation of employee			26 CFR 31.6001-1(e)(2)
3.2.106	3.2.006	Wage Rate Tables			2						29 CFR 516.6(a)(2)
3.2.107	3.2.007	Unemployment Compensation Records		AC	5			AC=Settled			
3.2.108	3.2.008	Direct Deposit Applications/ Authorization		US							



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					Years	Months	Days				
3.2.109	3.2.009	State Deferred Compensation Records		AC	5			AC=All accounts with a vendor or vendors for the individual participant have been closed.		For instruction regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the <i>Benefits Coordinator Reference Manual</i> issued by the Employees Retirement System of Texas.	
3.2.110	3.2.010	Human Resources Information System (HRIS) Report	Includes supporting documentation.	AC	4			AC= Issuance of Report			
Section 3.3 Employment Records - Personnel Administration											
3.3.101	3.3.001	Affirmative Action Plans	For both regular employees and apprenticeship programs		5						29 CFR 30.8(e) for apprenticeship plans.
3.3.104	3.3.004	Benefit Plans	Employee benefit plans such as pension, life, health and disability insurance, deferred compensation, etc. including amendments.	US	3						29 CFR 1627.3(b)(2)
3.3.110	3.3.010	Labor Statistics Reports	Reports providing statistical information on labor force.		3						
3.3.111	3.3.011	Former Employee Verification Records	Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form (3.1.038).	AC	75			AC=Termination of Employment			



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3.3.115	3.3.015	Positions/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3						
3.3.120	3.3.020	Work Schedules/Assignments	Work, duty, shift, crew, or case schedules, rosters or assignments		2						
3.3.122	3.3.022	Texas Workforce Commission (TWC) Reports (from TWC to agency)			3						
3.3.123	3.3.023	Reimbursable Activities, Requests and Authorizations to Engage in	Requests and authorizations for travel; participation in educational programs, workshops, or college classes, or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE	3						
3.3.124	3.3.024	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						
3.3.125	3.3.025	Job Procedure Records	Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US	3						



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					Years	Months	Days				
3.3.126	3.3.026	Agency Staffing Reports	Any report compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name, staff hired during a month, detailed listings of employees within its organizational structure, position vacancies, analysis of turnover rates and seasonality of employment, etc.	US	3						
3.3.127	3.3.027	Aptitudes & Skills Tests	Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US	2					CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.	29 CFR 1602.31 (State Agencies) 29 CFR 1602.49 (State Universities)
3.3.128	3.3.028	Aptitude and Skills Tests (Test Papers)	Aptitude or skills test papers job applicants or of current personnel taking a test to qualify for promotion or transfer.		2						29 CFR 1602.31 (State Agencies) 29 CFR 1602.49 (State Universities)
3.3.129	3.3.029	Aptitude and Skills Tests (Validation Records)	Records of the validation of aptitude and skills tests.	AC	2			AC=As long as the test is used by an agency.			29 CFR 1602.31 (State Agencies) 29 CFR 1602.49 (State Universities)



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3.3.130	3.3.030	Training Administration Records	Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern an agency's programs, services or projects.	US	2					CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.	
3.3.131	3.3.031	EEO Reports and Supporting Documentation	Includes documentation used to complete EEO reports.		3						29 CFR 1602.32, .48 and .50
3.3.132	3.3.032	Equal Pay Records	Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the federal Equal Pay Act.		3						29 CFR 1620.32
3.3.133		Address Change Form		US							
3.3.135		Individual Personnel File - Current Employee		AC				AC=date employee either separates (3.3.137) or retires (3.3.136) from employment, file to be retained accordingly.		Must maintain for duration of employment.	
3.3.136		Individual Personnel File - Retired Employees		AC	5			AC=Retirement of Employee			
3.3.137		Individual Personnel File - Separated Employee		AC	5			AC=Separation/ Termination of Employee			
Section 3.4 Employment Records - Time and Leave Records											



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3.4.101	3.4.001	Accumulated Leave Adjustment Requests	Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances on August 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE	3						
3.4.102	3.4.002	Leave Status Report (each pay cycle)	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3						
3.4.103	3.4.003	Less Than Full-Time Worked Reports	Dates and hours		4						40 TAC 815.106(i).
3.4.104	3.4.004	Overtime Authorizations			3						
3.4.105	3.4.005	Overtime Schedules			3						
3.4.106	3.4.006	Time Cards and Time Sheets			4						40 TAC 815.106(i).
3.4.107	3.4.007	Time Off and/or Sick Leave Requests		FE	3						
3.4.108	3.4.008	Sick Leave Pool Records	Donations and Withdrawals	FE	3						
Section 4.1 Fiscal Records - Worksheets, Detail Information on Economic Event or Transaction											
4.1.101	4.1.001	Accounts Payable Information		FE	3					Subject to federal audit	
4.1.102	4.1.002	Billing Detail		FE	3					Subject to federal audit. CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.	



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4.1.103	4.1.003	Cancelled Checks/ Stubs/ Warrants/ Drafts		FE	3					Subject to federal audit	
4.1.104	4.1.004	Encumbrance Detail		FE	3					Subject to federal audit	
4.1.105	4.1.005	Inventory and Other Cost Files	Production, job, labor, quotes, pricing, specifications, etc.	FE	3						
4.1.106	4.1.006	Investment Transaction Files		FE	5						
4.1.107	4.1.007	Transfer or Budget Revisions		FE	3						
4.1.108	4.1.008	Electronic Fund Transfers	Direct Deposit Registers	FE	3						
Section 4.2 Fiscal Records - Documents of Original Entry											
4.2.101	4.2.001	Cash Deposit Vouchers	Includes deposit slips	FE	3						
4.2.102	4.2.002	Cash Receipts	Includes receipts for fees (permits, licenses, renewals, etc.).	FE	3						
4.2.103	4.2.003	Daily Cash Receipts Log		FE	3						
4.2.104	4.2.004	Encumbrance Vouchers	Orders, statements, change orders, etc.	FE	3						
4.2.105	4.2.005	Purchase Vouchers	Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	3					Subject to federal audit	
4.2.106	4.2.006	General Journal Vouchers		FE	3						



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4.2.107	4.2.007	Expenditure Vouchers	Includes travel expense reports, payroll, etc. (Request for Travel Authorizations and Travel Reimbursement Forms are maintained under 3.3.023.)	FE	3					Subject to federal audit	
4.2.108		City Armored Service Receipt Books		FE	3						
4.2.109		Student Bills (Unpaid)	With Promissory Notes	AC	5			AC=Date Paid			
Section 4.3 Fiscal Records - Journals or Registers											
4.3.101	4.3.001	Sales Journals or Registers		FE	3						
4.3.102	4.3.002	Receipts Journals or Registers		FE	3						
4.3.103	4.3.003	Expenditures Journals or Registers		FE	3						
Section 4.4 Fiscal Records - Ledgers											
4.4.101	4.4.001	General and Subsidiary Ledgers		FE	3						
4.4.102	4.4.002	Accounts Receivable Ledgers		FE	3						
4.4.103	4.4.003	Accounts Payable Ledgers		FE	3						
4.4.104	4.4.004	Employee Savings Bond Ledgers		FE	3						
Section 4.5 Fiscal Records - Reports											



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4.5.101	4.5.001	Worksheets for Preparing Fiscal Reports		FE	3						
4.5.102	4.5.002	Internal Fiscal Management Reports	Includes monthly budget reports.	FE	5						
4.5.103	4.5.003	Annual Financial Report	Required by General Appropriations Act (100 Day Report).	PM						CAUTION: If an agency does not produce a biennial or annual narrative report as described in item number 1.1.066, then these annual financial reports must be marked with Archival Code I. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
4.5.105	4.5.005	External Fiscal Reports - Special purpose	Federal financial reports, salary reports, etc. Includes HUB Reports.	FE	5						
4.5.106	4.9.001	Annual Operating Budgets	Required by the General Appropriations Act.	FE	6						
4.5.107	4.5.007	USAS Reports - Daily		AC				AC=Receipt and reconciliation of monthly report			
4.5.108	4.5.008	USAS Reports - Monthly		AC				AC=Receipt and reconciliation of annual report			



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4.5.109	4.5.009	USAS Reports - Annual		FE	3						
Section 4.6 Fiscal Records - Documents Showing Compliance with System of Internal Control											
4.6.101	4.6.001	Monthly Balancing Records		FE	3						
4.6.102	4.6.002	Reconciliations		FE	3						
4.6.103	4.6.003	Cash Counts		FE	3						
4.6.104		Inventory Sheets		FE	3						
Section 4.7 Fiscal Records - Other Fiscal Records											
4.7.101	4.7.001	Accounting Policies and Procedures Manual		US	3						
4.7.102	4.7.002	Bank Statements		FE	3						
4.7.103	4.7.003	Returned Checks/ Warrants/ Drafts (Uncollectible)		AC	3		AC=After deemed uncollectible				
4.7.104	4.7.004	Capital Asset Records		LA	3				O	Property records should include any payment-related source documentation (i.e. invoices, payment vouchers, receipts, etc.) necessary to substantiate the value of the asset.	
4.7.105	4.7.005	Insurance Claim Files	(Excluding Claims for Injuries to Student-Athletes, 6.2.179)	AC	5		AC=Resolution of claims.				
4.7.106	4.7.006	Comptroller Statements		FE	3						
4.7.107	4.7.007	Detail Chart of Accounts	One for all accounts in use for a fiscal year.	FE	3					One for all accounts in use for a year.	



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4.7.108	4.7.008	Federal Grant Records		AC	5			AC=Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific federal funding agency. Agencies must ensure that records are retained for the appropriate retention period.	
4.7.108.1	4.7.008	Sponsored Grants and Contracts		AC	3			AC=Term of Grant			
4.7.109	4.7.009	Fixed Asset Sequential Number Log		US	3						
4.7.110	4.7.010	Long-Term Liability Records	Bonds, etc.	AC	3			AC=Retirement of debt			
4.7.111	4.7.011	Texas Facilities Commission (TFC) Statements	(formerly Texas Building and Procurement Commission (TBPC)) Charge or bill statements received by institutions from the TFC for services provided.	FE	3						
4.7.112	4.7.012	Signature Authorizations	Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	AC	3			AC = US + FE			
4.7.113		Credit Memos		AC	5			AC=Settled			



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4.7.114		Gift and Donor Records	Documents potential or realized private, corporate, or public agency funding to the institution, including endowments, gifts, donor records and trusts. May include but is not limited to: award guidelines, letters and agreements of gifts, donation amounts, names of donors and any other related documentation and correspondence.	PM					I	CAUTION: Security is open with restrictions.	
Section 5.1 Support Services Records - General											
5.1.101a	5.1.001	Contracts and Leases (Executed, renewed, or amended on or after September 1, 2015)	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. Includes research contracts and documents of original entry - federal contracts. <i>a) Executed, renewed, or amended on or after September 1, 2015.</i>	AC	7			AC=Completion or expiration of the instrument according to its terms OR resolution of all issues that arise from any litigation, claim, negotiation, audit, open records request, administrative review, or other action involving the instrument.		SEE related item numbers 3.1.035 Performance Bonds, 5.3.007 Bid Documentation, and 5.2.028 Building Construction Contracts.	Govt. Code 441.1855.



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					Years	Months	Days				
5.1.101b	5.1.001	Contracts and Leases (Executed, renewed, or amended on or before August 31, 2015)	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. Includes research contracts and documents of original entry - federal contracts. <i>b) Executed, renewed, or amended on or before August 31, 2015.</i>	AC	4			AC=Completion or expiration of the instrument according to its terms OR resolution of all issues that arise from any litigation, claim, negotiation, audit, open records request, administrative review, or other action involving the instrument.		SEE related item numbers 3.1.035 Performance Bonds, 5.3.007 Bid Documentation, and 5.2.028 Building Construction Contracts.	Govt. Code 441.1855.
5.1.103	5.1.003	Delivery Reports	Includes Federal Express		2						
5.1.104	5.1.004	Mailing Lists	Any mailing address, telephone or fax number, or e-mail address records maintained by an institution on its employees or on entities or persons it serves (i.e. Students).	US							
5.1.105	5.1.005	Postage Meter Records and Postage Expense Reports (includes airborne)		FE	3						
5.1.107	5.1.007	Requisitions for Copy/Printing Service		AV							
5.1.110	5.1.010	Licenses & Permits for Non-vehicles	Does not include licenses and permits issued by an agency as part of its statutory responsibilities.	AC	2			AC=Expiration date of license or permit.			



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					Years	Months	Days				
5.1.111	5.1.011	Photocopier & Telefax Usage Logs & Reports (leased equipment)		AV							
5.1.112	5.1.012	Charge Schedules/ Price Lists	Schedules of prices charged by an institution for services to the public or other agencies, including any documentation used to determine the charges.	US	3						
5.1.112.1	5.1.012	Price Lists (agency and vendor lists)		US	3						
5.1.113	5.1.013	Insurance Policies - Property	For vehicles, equipment, etc.	AC	7			AC = Expiration or termination of the policy according to its terms.			Government Code 441.1855
5.1.113.1	5.1.013	Insurance Policies - Casualty		PM							
5.1.114	5.1.014	Office Procedures	Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency; for example, agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US	1						
5.1.115	5.1.015	Correspondence Tracking Records	Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers.		1						
5.1.117	5.1.017	Contract Log	List of agency contracts, leases and agreements including general obligation, land leases, utilities and construction contracts.	FE	7						



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					Years	Months	Days				
5.1.118		Campus Post Office Records			4						
Section 5.2 Support Services Records - Facility Management											
5.2.101	5.2.001	Appraisals - Building or Property		LA					O	See also item number 1.1.179. Disclosure of Information would be "closed" until a contract is awarded and "open" after awarding of a contract.	
5.2.102	5.2.002	Building Construction Project Files	Planning, design, and construction records; accepted and rejected bids; correspondence; etc. Applies to new construction and renovations	AC	10			AC=Completion of project.	O	See 5.2.003 and 5.2.028.	
5.2.103	5.2.003	Building Plans & Specifications - University-Owned	Includes architectural and engineering drawings, profiles and blueprints.	LA					O	See 5.2.002 and 5.2.028.	
5.2.203	5.2.003	Building Plans & Specifications - Leased	Includes architectural and engineering drawings, profiles and blueprints.	AC	5			AC=Termination or cancellation of lease.		See also item numbers 5.2.002 and 5.2.028.	
5.2.104	5.2.004	Building Space Requests			1						
5.2.105	5.2.005	Calibration (Equipment or Instrument)			10						
5.2.106	5.2.006	Certificate of Destruction of Property		FE	3						
5.2.107	5.2.007	Property Damage Reports		FE	3						



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5.2.108	5.2.008	Equipment History File	Agreements or contracts with an equipment vendor to provide maintenance service for equipment. Includes requests for installation, moves, service, etc.; and service/repairs logbooks, etc. (includes computer hardware maintenance records)	LA	3					For service agreements or contracts related to equipment repairs and service, retain in accordance with 5.1.001	
5.2.109	5.2.009	Equipment Inventory Detail Report Form	Updates institution portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE	3						
5.2.110	5.2.010	Equipment Manuals		LA							
5.2.111	5.2.011	Equipment Warranties		AC	1			AC=Expiration of Warranty.			
5.2.112	5.2.012	Estimate Files (Supply & Repair Cost Estimates)			1						
5.2.114	5.2.014	Inventory - Annual Physical		FE	3						
5.2.115	5.2.015	Notice of Equipment Removed From Inventory		FE	3						
5.2.116	5.2.016	Inventory System Update Listing	Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.	AC				AC=Transfer of information into annual listing			
5.2.117	5.2.017	Lost and Stolen Property Report		FE	3						
5.2.118	5.2.018	Quality Control Reports			2						



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5.2.119	5.2.019	Service Orders	Institution copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks.		1						
5.2.120	5.2.020	Supply Usage Records		FE	1						
5.2.121	5.2.021	Surplus Property Sale Reports		FE	3						
5.2.122	5.2.022	Utility Reports		AV							
5.2.123	5.2.023	Year-to-Date Activity (Inventory Listing)	Shows additions, changes, transfers, and deletions of information within the inventory system. Data include institution, division, tag number, batch, document, transaction date, location, item code, description, date, and cost.	FE	3						
5.2.124	5.2.024	Material Specifications		AC	2			AC = Material is no longer in the agency.			
5.2.125	5.2.025	Equipment Descriptions and Specifications (set by agency)		AC	2			AC = Equipment is no longer in the agency.			
5.2.126	5.2.026	Facilities Reservation Logs	Reservation logs or similar requests relating ot the use of agency facilities such as meeting rooms, auditoriums, etc.		2						
5.2.127	5.2.027	Space Utilization Reports		AV							



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					Years	Months	Days				
5.2.128	5.2.028	Building Construction Contract & Inspection Records	Building construction contracts, surety bonds, and inspection records. (Applies to new construction and renovations)	LA	10				O	See also item numbers 5.2.002 and 5.2.003	
5.2.131		Facilities Inventory		LA	2				O		
5.2.132		Real Property Inventory		LA	2				O		
Section 5.3 Support Services Records - Purchasing											
5.3.102	5.3.002	Freight Bills Paid		FE	3						
5.3.103	5.3.003	Freight Claims		AC	2			AC=Resolution of claim.			
5.3.104	5.3.004	Orders - Acknowledgments		AV							
5.3.105	5.3.005	Packing Slips		AV							
5.3.107a	5.3.007	Bid Documentation, including RFP/RFQ Documentation (Associated with a contract executed, renewed, or amended on or after September 1, 2015.)	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, bid tabulation/evaluations, reference sheets and final matrix. <i>a) Associated with a contract executed, renewed, or amended on or after September 1, 2015.</i>	AC	7			AC = Completion or expiration of the instrument according to its terms OR resolution of all issues that arise from any litigation, claim, negotiation, audit, open records request, administrative review, or other action involving the instrument.		SEE related item numbers 3.1.035 Performance Bonds, 5.1.001 Contracts and Leases, and 5.2.028 Building Construction Contracts.	



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					Years	Months	Days				
5.3.107b	5.3.007	Bid Documentation, including RFP/RFQ Documentation (Associated with a contract executed, renewed, or amended on or before August 31, 2015.)	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, bid tabulation/evaluations, reference sheets and final matrix. <i>b) Associated with a contract executed, renewed, or amended on or before August 31, 2015.</i>	AC	4			AC = Completion or expiration of the instrument according to its terms OR resolution of all issues that arise from any litigation, claim, negotiation, audit, open records request, administrative review, or other action involving the instrument.		SEE related item numbers 3.1.035 Performance Bonds, 5.1.001 Contracts and Leases, and 5.2.028 Building Construction Contracts.	
5.3.107c	5.3.007	Bid Documentation, including RFP/RFQ Documentation (Unsuccessful bids that do not meet agency submission requirements and are not included in bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.).)	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, bid tabulation/evaluations, reference sheets and final matrix. <i>c) Unsuccessful bids that do not meet agency submission requirements and are not included in bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.).</i>	AC	2			AC = Date of notification of denial or date of withdrawal, as applicable.			
5.3.108	5.3.008	Purchasing Logs	Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE	7						
5.3.108.1		ProCard Log	And supporting documentation	FE	5						



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					Years	Months	Days				
5.3.109	5.3.009	Requests for Information (RFI)	Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC				AC=Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable		If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with item number 5.3.007.	
Section 5.4 Support Services Records - Safety											
5.4.101	5.4.001	Accident Reports and Associated Documentation	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Worker's Compensation Commission of the Texas Department of Insurance, or its predecessors, or maintained internally on accident frequency.	CE	5					The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.	29 CFR 1904.33.
5.4.102	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency.	US							
5.4.103	5.4.003	Inspection Records	Fire, safety, and other inspection records of facilities and equipment.	AC	3			AC=Inspection or date of the correction of the deficiency, if the inspection report reveals a deficiency.		CAUTION: Does not include inspection reports of building construction. See item number 5.2.028.	
5.4.104	5.4.004	Fire Orders	Issued by Fire Marshal to correct fire code deficiencies.	AC	3			AC=Deficiency corrected			
5.4.107	5.4.007	Hazardous Materials Training Records			5						Texas Health and Safety Code, §502.009(g)
5.4.107.1		Safety Training	Non-hazardous materials safety training documents.	US	1						



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					Years	Months	Days				
5.4.108	5.4.008	Hazard Communication Plans		US	5						Texas Health and Safety Code, §502.009(g)
5.4.109	5.4.009	Workplace Chemical Lists			30						Texas Health and Safety Code, §502.009(d)
5.4.110	5.4.010	Material Safety Data Sheets		AC				AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.			
5.4.111	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of facilities.		3						
5.4.112	5.4.012	Security Access Records	Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency facilities, equipment or automated systems.	AC	2			AC=Until superseded, date of expiration, or date of termination, whichever is sooner.			
5.4.113	5.4.013	Disaster Preparedness and Recovery Plans		US							
5.4.114		Asbestos and Mold Abatement Records	Surveys, monitoring tests and reports, building plans, correction checklists, abatement records, and related documentation and correspondence.	PM							
Section 5.5 Support Services Records - Telecommunications											



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					Years	Months	Days				
5.5.101	5.5.001	Billing Detail - Telecommunication (does not include TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE	3					SEE item number 5.5.006 for TEX-AN billing detail.	
5.5.102	5.5.002	Long Distance Telephone Log (includes Wire Transfers)	Long distance logs created by departments for internal documentation purposes. Includes any similar logs created for long distance facsimile or electronic transmissions.	AV							
5.5.103	5.5.003	Station Activity Reports	Internal listing of incoming/ outgoing telephone activity to individual telephone stations.	AV							
5.5.104	5.5.004	System Activity Reports	Internal listing of all incoming/outgoing institution telephone activity.	AV							
5.5.107	5.5.007	Disputed Call Documentation	Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use.	FE	3						
5.5.108		Telephone Charges - Dorm Resident		FE	3						
Section 5.6 Support Services Records - Vehicles											
5.6.103	5.6.003	Inspection Repair & Maintenance Records		LA	1						
5.6.104	5.6.004	License and Driving Record Check		AC				AC=Until superseded or until termination of employment.			



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5.6.105	5.6.005	Vehicle Use Reports	Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	FE	3						
5.6.107	5.6.007	Vehicle Titles and Registrations		LA							
5.6.109	5.6.009	Parking Permits or Assignments		US							
Section 5.7 Support Services Records - Campus Security, Traffic and Parking											
5.7.100		Traffic Accident Reports	File records relating to traffic accidents, including accident reports, supplemental accident reports, photographs, correspondence and related documentation.		3					Note: If an arrest is made or a citation issued as the result of an accident, the accident report shall be considered an offense investigation record and must be retained per 5.7.119.1 or 5.7.119.2.	
5.7.101		After Action Reports			3						
5.7.102		Appeals - Citations			3						
5.7.103		Arrest Reports	Arrest report and fingerprints on each person arrested by UTSA PD and charged with a felony or a misdemeanor not punishable by fine only.	AC	75			AC=Date of arrest or date of death of arrestee.			
5.7.104		Building Security Reports/File			3				O		
5.7.105		Campus Security Reports			3				O		
5.7.106		Citations (Paid)		FE	3						



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5.7.107		Citations (Unpaid)		AC				AC = Citation Paid		Transfer to Paid File (5.7.106) upon payment.	
5.7.108		Court Appearance Citations			3						
5.7.109		Crime Statistics Data and Report (Clery Act)	Including Campus Safety and Security Report		7				O		20 USC 1092(f), 34 CFR 668.46
5.7.111		Found Property Tags		PM						Hard Copy destroyed after document is stored electronically.	
5.7.112		Juvenile Reports		AC				AC=Statute of Limitations			
5.7.113		Parking Permit Refunds		FE	3						
5.7.114		Parking Violation Reports			5						
5.7.115		Police Call Sheets			2						
5.7.116		Police Crime Blotters			7						
5.7.117		Police Dispatcher Logs		PM						Hard Copy destroyed after document is stored electronically.	
5.7.118		Police Incident Reports			3						20 U.S.C. 1092(f)



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					Years	Months	Days				
5.7.119		Police Offense Reports	Offense and supplemental offense reports; investigation reports and notes; witness statements; latent fingerprints; results of chemical analysis and polygraph tests; crime scene, mug shot, and other photographs; laboratory reports; arrest reports (Class C misdemeanors only); citations, affidavits; criminal process; victim impact statements; and other records relating and customary to the investigation of criminal offenses or other violations of state law or local ordinance.	AC				AC=Statute of Limitations.		Maintain for review by police or federal agencies during background investigations or by prosecutors if subject involved in subsequent offenses. Note: If offense/accident results in arrest and DWI/DUI or second/third degree felony charges, see 5.7.119.1. If offense/accident results in citation and/or misdemeanor or state jail felony, see 5.7.119.2.	
5.7.119.1		Offense/Accident Reports (resulting in arrest and DWI/DUI or second degree or higher felony charges).		AC	10			AC=Date of arrest		CAUTION: Records of cases not cleared must be retained until the statute of limitations has expired. Records may be destroyed upon date of death of individual, if known.	
5.7.119.2		Offense/Accident Reports (resulting in citation and/or misdemeanor or state jail felony).		AC	3			AC=Date of arrest		CAUTION: Records of cases not cleared must be retained until the statute of limitations has expired. Records may be destroyed upon date of death of individual, if known.	
5.7.120		Student Safety Records (traffic appeals, etc.)		AC	5			AC=Settled			



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					Years	Months	Days				
5.7.121		Temporary Vehicle Registration			1						
5.7.122		Tow Records			3						
5.7.123		Vehicle Registration Files (non-UTSA owned vehicles)			2						
5.7.124		Police Internal Affairs Investigation Records.	Records of investigation of law enforcement shooting incidents that result in death or injury to any person, including a police officer.	PM							Texas Local Schedule PS4075-01a
5.7.125		Police Internal Affairs Investigation Records.	Records of investigations that find an officer engaged in misconduct and penalize the officer at or above the level of a written reprimand.	AC	15			AC = completion of the investigation.			Texas Local Schedule PS4075-01b
5.7.126		Police Internal Affairs Investigation Records.	Records of investigations that find an officer engaged in misconduct and penalize the officer below the level of a written reprimand, or of investigations whose findings are inconclusive.	AC	5			AC = After completion of investigation, provided a 1 year infraction free period precedes the date of destruction.			Texas Local Schedule PS4075-01c
5.7.127		Police Internal Affairs Investigation Records.	Records of investigations whose allegations are not sustained, or in cases where accusations are determined to be unfounded or the accused is exonerated.	AC	3			AC = completion of the investigation.			Texas Local Schedule PS4075-01d



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5.7.128		Police Internal Affairs Investigation Records.	Written complaints and records of oral complaints received from the public concerning the conduct of law enforcement officers, fire department personnel, and emergency medical personnel that do not lead to an internal affairs investigation.	AC	2			AC = Determination not to initiate an internal affairs investigation.			Texas Local Schedule PS4075-01e
5.7.129		Police Officer Promotion Review Records.	Promotion review process documents including: the results of written tests taken through UT System, and assessment by the interview panel including interview questions, notes and scores.	AC	3			AC = Date promotion granted or denied.		Note: A copy of the letter granting or denying promotion, and any final determination letter regarding an appeal, should be maintained in the employee's individual personnel file, in accordance with 3.3.135, 3.3.136 or 3.3.137.	
Section 6.1 Student Records - Admissions Data/Documents											
6.1.100		Documents for Applicants Who Do Not Enter	Includes acceptance letters, advanced placement records, applications for admission, correspondence, entrance examination reports, letters of recommendation, medical records, placement scores, readmission forms, test scores.	AC	1			AC=Application term			



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6.1.101		Documents for Applicants Who Enter/Enroll	Includes acceptance letters, advanced placement records, applications for admission & readmission, correspondence, entrance examination reports, medical records, placement scores, residency classification forms, test scores.	AC	5			AC=After graduation or date of last attendance.		Hard Copy is destroyed after microfilming	
6.1.102		Letters of Recommendation for Applicants Who Enter/Enroll		AC	1			AC=After enrollment.		Waivers of rights of access filed with letters of recommendation should be retained as long as the file is retained.	
6.1.103		Recruitment Materials			3						
6.1.105		Scholarship Applications - Not Awarded	Records of students who have applied for departmental scholarships and who have not received funds.	AC	1			AC= End of academic period for which aid was denied			
6.1.106		Scholarship Applications - Recipients	Records of students who have applied for departmental scholarships and received funds.	AC	3			AC=End of award period.			
6.1.107		Renewable Scholarship Recipient Applications and associated paperwork		AC	3			AC = End of award period.			
6.1.108		Transcripts (applicants who do not enter)		AC	1			AC=Application term.		If document would be hard to replace, may return to applicant.	



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6.1.109		Transcripts (applicants who enter)		AC	5			AC=After graduation or date of last attendance.		Hard Copy is destroyed after microfilming	
Section 6.2 Student Records - Registration and Records Data/Documents											
6.2.100		Academic Action Authorizations (dismissal, etc.)		AC	5			AC=Graduation or date of last attendance			
6.2.101		Academic Transcripts from UTSA		PM						Hard Copy destroyed after document is stored electronically.	
6.2.102		Advanced Placement Records		PM						Hard Copy destroyed after document is stored electronically.	
6.2.103		Affidavit for I-485	Aliens who are residents of Texas	PM							
6.2.104		Applications for Admission or Readmission (Accepted)		PM						Hard Copy destroyed after document is stored electronically.	
6.2.105		Application for Graduation		AC	5			AC=Graduation or date of last attendance			
6.2.106		Audit Authorizations		AC	1			AC=Date submitted			
6.2.107		Certification for Concurrent Enrollment Form		PM						Hard Copy destroyed after document is stored electronically.	
6.2.108		Challenge Exam Forms		PM							
6.2.109		Change of Classification Form		PM						Hard Copy destroyed after document is stored electronically.	



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6.2.110		Change of Grade Forms (update documents)		PM						Hard Copy destroyed after document is microfilmed.	
6.2.111		Change of Information	Students personal information; address, phone number, name, etc.	AC	5			AC=Graduation or date of last attendance.			
6.2.112		Changes of Course (add/drop)		AC	5			AC=Date submitted.		Official copy is microfilmed	
6.2.113		Class Lists (grade sheets)		PM						Hard Copy destroyed after document is stored electronically.	
6.2.114		Class Schedules (students)		PM						Hard Copy destroyed after document is stored electronically.	
6.2.115		Correspondence, Relevant to Students' Registration and Data Documents		AC	5			AC=Graduation or date of last attendance			
6.2.116		Correspondence/ Extension Class Records		PM						Hard Copy destroyed after document is stored electronically.	
6.2.117		Course Audit Form		PM							
6.2.118		Course Inventory Data File		US						Hard Copy destroyed after document is stored electronically.	
6.2.119		Credit by Examination Forms (entered)	CLEP, AP, etc.	PM						Hard Copy destroyed after document is stored electronically.	
6.2.120		Credit by Examination Forms (did not enter)	CLEP, AP, etc.	AC	1			AC=End of semester submitted			



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6.2.121		Credit/No Credit Approvals		AC	1			AC=End of academic term.			
6.2.122		Curriculum Change Authorizations		AC	5			AC=Graduation or date of last attendance			
6.2.123		Degree Audit Records		PM						Hard Copy destroyed after document is stored electronically.	
6.2.124		Degree Audit Request Forms		AC		6		AC = until termination of enrollment			
6.2.125		Degree Statistics - Major Changes		PM						Hard Copy destroyed after document is stored electronically.	
6.2.126		Disciplinary Record	Disciplinary documentation relating to suspension, expulsion, denial or revocation of a degree and/or withdrawal of diploma. Record includes nature of charge, disposition, sanction assessed and any other pertinent information.	PM						NOTE: If does not result in suspension, expulsion, denial or revocation of degree or withdrawal of diploma, SEE 6.2.163.	
6.2.127		Duplicate Diploma Requests		AC	1			AC = One year after diploma is ordered.			
6.2.128		Enrollment Certifications	Undergraduates enrolling in graduate courses	PM							
6.2.129		Fee Assessment Forms		AC	5			AC=Graduation or date of last attendance			
6.2.130		Financial Aid Audit Documents (Non-Hazlewood Act documents)		AC	5			AC= After annual audit has been accepted by Department of Education		For Hazlewood Act documentation, see 6.2.180 and 6.2.181.	



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6.2.131		Foreign Credentials Evaluation - (applicants who do not enter)		AC	3			AC=End of Semester Submitted			
6.2.132		Foreign Credentials Evaluation - (applicants who enter)		PM						Hard Copy destroyed after document is stored electronically.	
6.2.133		Foreign Student Forms (I-20, etc.)		AC	5			AC=Graduation or date of last attendance			
6.2.134		Grade Reports (Registrar's copies)		PM						Hard Copy destroyed after document is stored electronically.	
6.2.135		Graduation Authorizations		AC	5			AC=Graduation or date of last attendance			
6.2.136		Graduation Lists		PM					I	Hard Copy destroyed after document is stored electronically.	
6.2.137		Guidelines for the CR/NC Grade Option - Undergraduate students only.		PM						Hard Copy destroyed after document is stored electronically.	
6.2.138		Hold or Encumbrance Authorizations		AC				AC=Until released.			
6.2.139		Incomplete Grade Contracts		AC	1			AC=Contract Fulfilled/Terminated			
6.2.140		Independent Study Course Form		PM						Hard Copy destroyed after document is stored electronically.	



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6.2.141		Restrict Student Directory Information Request Form		PM							
6.2.142		Student Medical Records	Including Student Health Services, Counseling Services, and Disability Services records	AC	7			AC=Date of last visit		22 TAC 165.1(b) (records of licensed physicians); 22 TAC 465.22(d) (records of licensed psychologists); 22 TAC 681.41(q) (records of professional counselors)	
6.2.144		Miscellaneous Memos and Emails - (applicants who do not enter)	To students, departments, etc.	AC	3			AC=End of semester submitted			
6.2.145		Miscellaneous Memos and Emails - (applicants who enter)	To students, departments, etc.	PM							
6.2.146		Miscellaneous Waiver, Substitution and Petition Letters and Forms		PM							
6.2.147		NCAA Eligibility Verification		PM							
6.2.148		Pass/Fail Requests		AC	1			AC=End of academic term.			
6.2.149		Permanent Record Card		PM							
6.2.150		Personal Data Information Forms		AC	1			AC=Graduation or date of last attendance			
6.2.151		Placement/Career Planning Records		AC	5			AC=Graduation or date of last attendance			



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6.2.152		Rank in Class Report		PM							
6.2.153		Registration Forms		PM						Hard Copy destroyed after document is microfilmed.	
6.2.154		Release of Degree Info		CE		1					
6.2.155		Request Change of Undergraduate Catalog of Graduation Form		PM							
6.2.156		Request for Veteran Certification		AC	3			AC=End of semester submitted			
6.2.157		Request of Special Classroom		AC	1			AC=End of semester submitted			
6.2.158		Request of Student to Obtain Copies of Educational Records		PM							
6.2.159		Requests to Reduce Course Enrollment		AC	1			AC=End of semester submitted			
6.2.160		Requests to Withdraw Graduation Application		AC	5			AC=End of semester submitted			
6.2.161		Requirements for Removal of Incomplete		PM							
6.2.162		Residence Questionnaire Form	All related documents. Also includes 3-part military form.	PM							



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6.2.163		Scholastic Dishonesty Record	Record includes nature of charge, disposition, sanction assessed and any other pertinent information.	AC	5			AC=Graduation or date of last attendance.		CAUTION: If this results in disciplinary action the records must be retained permanently. SEE 6.2.126.	
6.2.164		Student Health History Forms		AC	3			AC=Graduation or date of last attendance.			
6.2.165		Transcript Requests & Releases		AC	1			AC=Date of request.		Hard Copy destroyed after document is stored electronically.	
6.2.166		Transfer Credit Evaluations		PM						Hard Copy destroyed after document is stored electronically.	
6.2.167		Tuition and Fee Charges		AC	5			AC=One year after graduation or date of last attendance			
6.2.168		Tuition Rebate		PM							
6.2.169		Undergraduate Letter of Good Standing		PM							
6.2.170		Withdrawal Authorizations		AC	15			AC=Graduation or date of last attendance.			
6.2.171		Student-Athlete Education Records	Including student-athlete statement. Results of drug test, high school & all college transcripts, precollege test scores & related information and correspondence, records concerning financial aid, other documents obtained pertaining to NCAA eligibility.	AC	10			AC=graduation or date of last attendance.		Subject to NCAA investigative review.	



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6.2.172		Athletic Recruitment Records		AC	10			AC=after graduation or date of last attendance			
6.2.173		NCAA Compliance Record	Including certification of compliance form, student-athlete statement, drug testing consent form, student-athlete affirmation.		7						
6.2.174		NCAA Compliance Records	Including squad list, graduation-rates disclosure records.		7						
6.2.175		NCAA Compliance Records	Including information and sports sponsorship, and designation of institutional representatives.		7					Subject to NCAA Review.	
6.2.176		Conference USA Compliance Records	To include hardships.		7						
6.2.177		Rules & Regulations	Including NCAA rules-interpretations records and/or files and documentation to substantiate the dissemination and communication of rules education material.	US	10					Subject to NCAA review.	
6.2.178		Insurance Policies for Athletes		AC	4			AC=Expiration or termination of policy;		UT System retains 20 years	
6.2.179		Student-Athlete Medical / Insurance Records and Insurance Claim Files	Including claims for injuries to student-athletes and correspondence.	AC	10			AC=after graduation or date of last attendance or after case closed			
6.2.180		Hazlewood Act Documentation - awarded applicants	This series documents eligibility to claim the Hazlewood exemption and institutional records to track benefit hours claimed.	PM							Texas Education Code §54.241 (Hazlewood Act), 19 TAC 21.85



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6.2.181		Hazlewood Act Documentation - non-awarded applicants	This series documents eligibility to claim the Hazlewood exemption and institutional records to track benefit hours claimed.	AC	2			AC=Date loan denied.			Texas Education Code §54.241 (Hazlewood Act), 19 TAC 21.85
Section 6.3 Student Records - Certification Data/Documents											
6.3.100		Class Rolls - Certification		PM						Maintained electronically. Hard copy destroyed.	
6.3.101		Enrollment Verifications		AC	1			AC=Verification			
6.3.102		Financial Aid Program Records		AC	5			AC=Graduation or date of last attendance			
6.3.103		Social Security Certifications		AC	1			AC=Certification			
6.3.104		Teacher Certifications and Supporting Documentation		AC	15			AC=Until after Graduation			
6.3.105		Veterans Administration Certification		AC	3			AC=Graduation or date of last attendance			
Section 6.4 Student Records - Publications, Statistics, Institutional Reports											
6.4.100		Academic Calendar - Final Copy		PM							
6.4.101		Commencement Program		PM							
6.4.102		Degree Statistics		PM							
6.4.103		Enrollment Statistics		PM							



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6.4.104		Grade Statistics		PM							
6.4.105		Racial/Ethnic Statistics		PM							
6.4.106		Schedule of Classes (institutional)		PM							
6.4.107		Theses, Dissertations, Comprehensives and Manuscripts		PM					I		
6.4.108		University Catalogs		PM					I	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the catalogs to the University Archives and to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
6.4.109		University Surveys	Fall Staff Survey, Graduation Rate Survey, UTSA Student Survey of Teaching, Course Instructor Survey, Integrated Post-Secondary Education Data System (IPEDS), Surveys of Enrollment, Competitions, Characteristics, Salaries, Tenure, Fringe Faculty, etc.	AC	10			AC=September 1 of odd-numbered calendar years			
6.4.110		Daily Injury Report		AC	5			AC=after graduation or date of last attendance or after case closed			



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6.4.111		External Fiscal Reports - NCAA Reports		FE	3						
6.4.112		Media Guides for Individual Sports		PM							
6.4.113		Sports Statistics		PM							
6.4.114		Team Rosters and Photographs	Including photographic documentation of athletic events.	PM					I		
Section 6.5 - Student Records - Family Educational Rights and Privacy Act (FERPA) Data / Documents											
6.5.100		Requests for Formal Hearings		AC	2			AC=After closed/terminated.			
6.5.101		Requests and Disclosures of Personally Identifiable Information	Where information is disclosed to a student or other individual on behalf of the student	AC				AC=As long as disclosed record is maintained.			
6.5.101.1		Requests and Disclosures of Personally Identifiable Information	Where information is disclosed to individuals other than student or others on behalf of the student	PM							
6.5.102		Student Requests for Nondisclosure of Directory Information		AC				AC=Until termination of nondisclosure request.		34 CFR 99.37(b) (FERPA)	
6.5.103		Student Statements on Content of Records Regarding Hearing Panel Decisions		AC				AC=Terminate at same time as pertinent student record			



STATE OF TEXAS
Records Retention Schedule

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Rev. 2017-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
 AV – Administratively valuable
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 LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

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

1. Agency Code: 743			2. Agency Name: UT San Antonio								
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
6.5.105		Waivers for Rights of Access		AC				AC=Until terminated by the student, or terminate at same time as pertinent student record			
6.5.106		Written Decisions of Hearing Panels		AC	2			AC=After decision rendered, if not appealed.			
Section 6.6 Student Records - Other Student-Related Records											
6.6.101		Alumni Records		PM							
6.6.102		Child Development Center Attendance Records	Record of attendance in the child care facility. Sign-in and sign-out sheets as well as all correspondence and documentation or arrivals and departures from the facility.	AC		3		AC=Date of last attendance		40 TAC 746.801 and 746.803	
6.6.103		Child Development Center Records	Records of enrollment, admission and activities of children in child care facility. Includes application for admission, emergency authorization forms, medication authorization forms, incident forms, immunization records, permission to participate in field trips and any other documents relating to the children. Includes documentation of suspected child abuse.	AC	5			AC=Date of last attendance		40 TAC 746.603(a)(1-8) and (b)(3); 40 TAC 746.801(1)	



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					Years	Months	Days				
6.6.104		Counseling Records - Academic		AC	5			AC=Completed		CAUTION: Not including mental health counseling records (6.2.142).	
6.6.105		Instructional Materials		US					O		
6.6.106		Internship Contracts - Related documentation		AC	5			AC=Termination of Employment			
6.6.107		Library Holdings	Card or automated catalogs, shelf lists, etc.	US						Holdings are not state records, but finding aids are.	
6.6.108		Registered Student Organizations	Copies of documents including organizations' constitution(s), semester registration forms, requests to create email account and/or on-campus agency account, deposit and withdrawal forms, correspondence related to the organization, IRS letter indicating the organization's EIN, programs or advertisements for events, disciplinary records (rosters, letters, summary notes, etc.).	AC	5			AC=termination of organization and/or relationship with UTSA	O		
6.6.109		Student Housing Files	Student resident files to include lease agreements and supporting documents	AC	4			AC=expiration of contract/lease agreement			
6.6.110		Campus Recreation Guest Pass Release Forms		FE	5						



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					Years	Months	Days				
6.6.111		Student Grievance Records		AC	5			AC = Final disposition of grievance.		CAUTION: Does not include formal complaint filed with the OCR or other governmental agency. If matter is the subject litigation, SEE 1.1.148. If mediated by Student Ombudsman refer to 6.6.112.	
6.6.112		Ombudsman Records, Student	Consultation records, notes, letters, memos, emails, reports and other documentation.	AC				AC=Final decision or matter closed.		CAUTION: Does not include formal complaint filed with the OCR or other governmental agency. If matter is the subject litigation, SEE 1.1.148. If matter becomes a grievance, is the subject of counseling, or student is subject to disciplinary action, the records are subject to retention in the appropriate records series. SEE 6.6.111, 6.6.104.	
Section 7.1 Agency Program Records - Research and Development Records											
7.1.100		Chemical Analysis Reports			5					Texas AgriLife Research -Texas State Chemist	
7.1.101		Research Grant Information		AC	7			AC=Completed		CAUTION: Retention may be governed instead by 4.7.108.	
7.1.102		Research Proposals - Accepted (Funded)		AC	7			AC=Completed		CAUTION: Retention may be governed instead by 4.7.108.	
7.1.103		Research Proposals - Denied (Not Funded)		AC	3			AC=Denial		CAUTION: Retention may be governed instead by 4.7.108.	