

July 6, 2021



Kevin Dillon
EVP, Chief Operating & Financial Officer
UT HSC at Houston
PO Box 20036, UCT-1721
Houston, TX 77225-0036

Dear Mr. Dillon,

Amendment 1 of the 8th recertification of your agency's records retention schedule is approved for use as of **July 6, 2021**, and it may be accessed on our website at <https://www.tsl.texas.gov/slrm/state/schedules>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

Lorenzo de Zavala
State Archives and
Library Building

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

1201 Brazos Street
Austin, Texas
78701

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

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

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

www.tsl.texas.gov

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

Commission Chair
Martha Wong

Sincerely,

Members
David C. Garza
F. Lynwood Givens
Arthur T. Mann
Bradley S. Tegeler
Darryl Tocker

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

Craig Kelso
Director and State Records Administrator

Director and Librarian
Mark Smith

cc: Agency head

Assistant State Librarian
Gloria Meraz

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 744
 Agency Name University Of Texas Health Science Center Houston

(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 *Kevin Dillon*
 Name (Print or type) Kevin Dillon
 Date 6/23/2021

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Signature _____
 Name (Print or type) _____
 Date _____

Not Required at This Time

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

Signature *Gloria Meyer*
 Name (Print or type) Gloria Meyer
 Date 7-6-2021

Cert/Recert No. 8 Amendment No. 1

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)





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Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
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Archival Codes (Field 10)

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

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					Years	Months	Days				
744.1.001	1.1.002	Audits	This records series typically includes, but is not limited to: Audits and reviews - internal or external - performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC = After Publication or release of final audit findings.		The record copy of any audit performed by the State Auditor's Office is retained permanently by that agency. Working papers are confidential.	
744.1.002	1.1.004-A	Legislative Appropriation Requests	This records series typically includes, but is not limited to: Any supporting documentation created and / or used to justify and support legislative appropriations requests by an agency.	AC	6			AC = After September 1 of odd-numbered calendar years.	I	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.	



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744.1.003	1.1.004-B	Legislative Appropriation Requests	This records series typically includes, but is not limited to: Any supporting documentation created and / or used to justify and support legislative appropriations requests by an agency.	PM						ARCHIVES NOTE: The archival requirement is met by sending copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the Legislative Budget Board are archival. EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	



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744.1.004	1.1.006	Complaint Records	This records series typically includes, but is not limited to: Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC	2			AC = After 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 RSIN 1.1.048.	



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744.1.005	1.1.007	Correspondence - Administrative	This records series typically includes, but is not limited to: Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.	4					O	ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the University Archives when these records have met their retention periods. CAUTION: This records series and RSIN 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by RSIN 1.1.004; a letter concerning an audit for that prescribed by RSIN 1.1.002, etc. SEE ALSO RSIN 1.1.011.	



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744.1.006	1.1.008	Correspondence - General	This records series typically includes, but is not limited to: Non-administrative incoming / outgoing and internal correspondence, in any format, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.		2					SEE ALSO Comment to RSIN 1.1.007. SEE ALSO RSIN 1.1.010.	
744.1.007	1.1.010	Directives	This records series typically includes, but is not limited to: Any document that officially initiates, rescinds, or amends general office procedures.	US	1						
744.1.008	1.1.011	Executive Orders	This records series typically includes, but is not limited to: Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.	US	3				I		



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744.1.009	1.1.013	Calendars, Appointment and Itinerary Records	This records series typically includes, but is not limited to: 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	CAUTION: A record of this type purchased with personal funds, but used by a state official or state employee to document his or her work activities may be a state record and is subject to this retention period.	SEE ALSO Open Records Decision 635 issued in December, 1995 by the Attorney General.
744.1.010	1.1.014	Legal Opinions and Advice	This records series typically includes, but is not limited to: Information 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 ALSO RSIN 1.1.048.	
744.1.011	1.1.019	Public Relations Records	This records series typically includes, but is not limited to: 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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744.1.012	1.1.020	Public Information Requests - Not Exempted	This records series typically includes, but is not limited to: All correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act.	AC	1			AC = After Date Request Fulfilled.			Texas Government Code § Chapter 552.
744.1.013	1.1.021	Public Records Requests - Exempted	This records series typically includes, but is not limited to: All correspondence and documentation relating to requests for records that are exempt under the Public Information Act.	AC	2			AC = After Date of notification that records are exempt.			Texas Government Code Chapter 552.
744.1.014	1.1.023	Organizational Charts		US					I		
744.1.015	1.1.024	Plans and Planning Records	This records series typically includes, but is not limited to: Plans and records relating to the process of planning new or redefined programs, services or projects of an agency that are not included in or directly related to other records series in this schedule.	AC	3			AC = After Decision made to implement or not to implement result of planning process.	O	ARCHIVES NOTE: Data processing planning records are not archival.	



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744.1.016	1.1.027	Proposed Legislation	This records series typically includes, but is not limited to: Drafts of proposed legislation and related correspondence.	AV							
744.1.017	1.1.038	Customer Surveys	This records series typically includes, but is not limited to: Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC				AC = After final disposition of summary report.		SEE ALSO RSIN 1.1.067 for summary reports compiled from customer surveys.	
744.1.018	1.1.040	Speeches, Papers and Presentations	This records series typically includes, but is not limited to: Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	2			AC = After termination of service.	O		
744.1.019	1.1.041	Suggestion System Records	This records series typically includes, but is not limited to: Suggestions submitted by agency personnel and responses.		1						



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744.1.020	1.1.043	Training Materials	This records series typically includes, but is not limited to: Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US	1						
744.1.021	1.1.048-A	Litigation Records	This records series typically includes, but is not limited to: Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC	10			AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court in a lawsuit.	O	ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the University Archives for archival preservation. EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	



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744.1.022	1.1.048-B	Litigation Records - Medical Liability Claims	This records series typically includes, but is not limited to: Records created by or on behalf of an agency in anticipation of or in the adjudication of a medical liability claim or lawsuit.	AC	20			AC = After Closed.	O	All Statutes of Limitations must be met before the Matter is closed. ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the University Archives for archival preservation. EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	



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744.1.023	1.1.055	Strategic Plans	This records series typically includes, but is not limited to: Information resources and operational strategic plans.	AC	6			AC = After September 1 of odd-numbered calendar years.	I	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	Texas Government Code §§2054.095 and 2056.002.
744.1.024	1.1.056	ADA (Americans with Disabilities Act) Documentation	This records series typically includes, but is not limited to: Self evaluations and plans documenting compliance with the requirements of the Americans With Disabilities Act.		3						28 CFR 35.105 (c).



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744.1.025	1.1.057	Transitory Information	This records series typically includes, but is not limited to: records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series.	AC				AC = After purpose of record has been fulfilled.		CAUTION: Records management officers should use caution in assigning this records series item number to ensure they are not part of another records series listed in this schedule and are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction authorizations or on records disposition logs, but agencies should establish procedures governing disposal of these records as part of its records management plan.	



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744.1.026	1.1.063	Staff Meeting Minutes and Notes	This records series typically includes, but is not limited to: Minutes or notes, and supporting documentation taken at internal agency staff meetings.		1						
744.1.027	1.1.064	Agency Performance Measures Documentation	This records series typically includes, but is not limited to: 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.	
744.1.028	1.1.065	Reports and Studies (Non-Fiscal) - Raw Data	This records series typically includes, but is not limited to: 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 ALSO especially RSIN 1.1.064.	



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744.1.029	1.1.066	Reports - Biennial or Annual Agency (Narrative)	This records series typically includes, but is not limited to: Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute.	AC	6			AC = After September 1 of odd-numbered calendar years.	I	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
744.1.030	1.1.067	Reports and Studies (Non Fiscal) - Final	This records series typically includes, but is not limited to: Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.		3				O		



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744.1.031	1.1.068	Reports – Reports on Performance Measures	This records series typically includes, but is not limited to: Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC	6			AC = After September 1 of odd-numbered calendar years.			
744.1.032	1.1.069	Reports - Activity	This records series typically includes, but is not limited to: 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 ALSO RSIN 1.1.064.	
744.1.033	1.1.070-A	Agency Rules, Policy and Procedures - Final	This records series typically includes, but is not limited to: Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = After Completion or termination of program, rules, policies or procedures.	O	SEE ALSO: Agency Rules, Policies and Procedures - Working Files, RSIN 1.1.071.	



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744.1.034	1.1.070-B	Rules and Regulations of the Board of Regents of the University of Texas System	This records series typically includes, but is not limited to: Supporting documentation and records not maintained at UT System.	PM					O	ARCHIVES NOTE: Years 1947 to 1999 are retained by Records Management. Subsequent amendments are available on-line through UT System.	
744.1.035	1.1.071	Agency Rules, Policy and Procedures - Working Files	This records series typically includes, but is not limited to: Data used to develop 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 its programs, services, or projects.	AC	3			AC = After Completion or termination of program, rules, policies or procedures.	O	SEE ALSO RSIN 1.1.070.	
744.1.036	1.1.072	Public Information Reports	This records series typically includes, but is not limited to: Reports made to the Office of the Attorney General on an agency's Public Information Act activities.		2						



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 R/O – Review by State/University Archivist

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					Years	Months	Days				
744.1.037	1.2.001	Records Destruction Authorizations	This records series typically includes, but is not limited to: Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE	3						
744.1.038	1.2.005	Records Retention Schedule (SLR 105)	This records series typically includes, but is not limited to: Documentation of certification and approval - forms SLR 105C (formerly named RMD105) and / or other forms designated by the State Records Administrator.	US						Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
744.1.039	1.2.006	Records Transmittal Forms	This records series typically includes, but is not limited to: Agency copy (includes RMD 101, Tx-R-5, 306058-1, and Agency Storage Forms). Forms indicate records transferred to storage or a transfer of legal custody.	AC	2			AC = After date of authorization for destruction, permanent transfer from storage, or transfer to the University Archives by the agency records management officer.			



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744.1.040	1.2.008	Request for Authority to Dispose of Public Records (RMD 102)	This records series typically includes, but is not limited to: Agency copy of form.	FE	3					Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
744.1.041	1.2.010	Records Disposition Log	This records series typically includes, but is not limited to: Logs or similar records listing records destroyed or transferred to the University Archives, showing records series title, dates of records, and date destroyed or transferred.		10						
744.1.042	1.2.012	Records Inventory Worksheets		US							
744.1.043	1.2.013	Records Control Locator Aids	This records series typically includes, but is not limited to: Indices, card files, shelf lists, registers, guides, etc.	AC				AC = After retention of the primary record and when control aid is updated, revised, or no longer needed.		CAUTION: These records must carry the same retention period and archival code of the records they support.	



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744.1.044	1.2.014	Records Management Plans	This records series typically includes, but is not limited to: Records Management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US	1						
744.1.045	1.2.015	Disaster Recovery Service Transmittals (RMD 109)	This records series typically includes, but is not limited to: Documentation for disaster recovery services provided by other entities.	FE	1						



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					Years	Months	Days				
744.1.046	1.3.001	Agency Publications	This records series typically includes, but is not limited to: One copy of each state publication as defined in the introduction of this schedule, except a publication that is subject to a different retention period in this schedule, i.e., a meeting agenda also meets this definition.	AC	2			AC = After supersedence or obsoletion.		For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the TSLAC (13 TAC 3.1-3.16). CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, TSLAC. The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it, subject to periodic evaluation to determine if the publication merits further retention. SEE ALSO RSIN 1.1.058.	Texas Government Code 441.101-441.106. For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the TSLAC (13 TAC 3.1-3.16).



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744.1.047	1.3.002	Publication Development Records	This records series typically includes, but is not limited to: Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV					O		
744.2.001	2.1.001	Processing Records	This records series typically includes, but is not limited to: Machine-readable files used in the creation, utilization, and updating of master files.	AC				AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.	



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744.2.002	2.1.002	Master Files	This records series typically includes, but is not limited to: Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC				AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.	O	CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.	
744.2.003	2.1.007	Software Programs	This records series typically includes, but is not limited to: Automated software applications and operating system files including job control language, program listing / source code, etc.	AC				AC = After electronic records are migrated to 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 length of time required to access the records.	13 TAC 6.94



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744.2.004	2.1.008	Hardware Documentation	This records series typically includes, but is not limited to: 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 = After electronic records are migrated to 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 length of time required to access the records.	13 TAC 6.94.



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744.2.005	2.1.009	Technical Documentation	This records series typically includes, but is not limited to: 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 = After electronic records are migrated to 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 length of time required to access the records.	13 TAC 6.94.



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744.2.006	2.1.010	Audit Trail Records	This records series typically includes, but is not limited to: Records needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and / or processed; history files / tapes; records of on-line updates to application files or security logs.	AC				AC = After audit requirements have been met.			
744.2.007	2.1.011	Finding Aids, Indexes, and Tracking Systems	This records series typically includes, but is not limited to: Automated indexes, lists, registers, and other finding aids used to provide access to records.	AC				AC = After destruction of related records.		CAUTION: These records must carry the same retention period and archival code of the records they support.	
744.2.008	2.2.001	System Monitoring Records	This records series typically includes, but is not limited to: Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.	AV							



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744.2.009	2.2.011	Batch Data Entry Control Records	This records series typically includes, but is not limited to: Forms and logs used to reconcile batches submitted for processing against batches received and processed.	AC				AC = After confirmation of reconciliation.			
744.2.010	2.2.012	Output Records for Computer Production	This records series typically includes, but is not limited to: Reports showing transactions that were accepted, rejected, suspended, and / or processed.	AV							



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744.2.011	2.2.013	Quality Assurance Records	This records series typically includes, but is not limited to: 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 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 = After need for an audit trail for any records modified no longer applies.			
744.2.012	2.2.016	Software Registrations, Warranties and License Agreements		LA	3			LA = Life of Asset.			



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					Years	Months	Days				
744.3.001	3.1.001	Applications for Permanent Employment - Not Hired	This records series typically includes, but is not limited to: Applications, resumes, transcripts, letters of reference, and similar documents required on the application form, by application procedures, or in the employment advertisement.		2						29 CFR 1602.49(a).
744.3.002	3.1.002	Applications for Permanent Employment - Hired	This records series typically includes, but is not limited to: Applications, resumes, transcripts, letters of reference, background checks, and similar documents required on the application form, by application procedures, or in the employment advertisement.	AC	5			AC = After Termination of employment.			
744.3.003	3.1.006	Employee Counseling Records	This records series typically includes, but is not limited to: Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained by the supervisory level except in those agencies with counseling staff.	AC	3			AC = After Termination of counseling.			



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744.3.004	3.1.011-A	Employee Insurance Records -Termination	This records series typically includes, but is not limited to: Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by UTHHealth to its employees.	AC	5			AC = After Termination.		SEE SUPPLEMENTAL NOTE - PERSONNEL RECORDS. CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for RSIN 3.2.001. EXCEPTION 2: This Agency RSIN (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	



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744.3.005	3.1.011-B	Employee Insurance Records -Retirement	This records series typically includes, but is not limited to: Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by UTHHealth to its employees.	AC	50			AC = After Retirement.		SEE SUPPLEMENTAL NOTE - PERSONNEL RECORDS. CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for RSIN 3.2.001.EXCEPTION 2: This Agency RSIN (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.3.006	3.1.012	Employment Opportunity Announcements	This records series typically includes, but is not limited to: Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.		2						29 CFR 1602.49(a).



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744.3.007	3.1.013-A	Employment Contracts	This records series typically includes, but is not limited to: Contracts or agreements regarding the terms and conditions of employment of an individual and a contract with a vendor for temporary staffing services. Includes performance bonds. Pertains to documents executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = After Expiration or termination of the contract according to its terms.			Texas Government Code § 441.1855.
744.3.008	3.1.013-B	Employment Contracts	This records series typically includes, but is not limited to: Contracts or agreements regarding the terms and conditions of employment of an individual and a contract with a vendor for temporary staffing services. Includes performance bonds. Pertains to documents executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = After Expiration or termination of the contract according to its terms.			Texas Government Code § 441.1855.



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744.3.009	3.1.014	Employment Selection Records	This records series typically includes, but is not limited to: Notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving record and previous injury checks, pre-employment physical examinations, pre-employment drug screening test results, polygraph examination results; and all other records that document the selection process.		2					CAUTION: Does not include criminal history checks. SEE ALSO RSIN 3.1.026.	29 CFR 1602.49(a).



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744.3.010	3.1.018	Grievance Records	This records series typically includes, but is not limited to: Records relating to the review of employee grievances or complaints against personnel policies, working conditions, etc.	AC	5			AC = After Final decision on the grievance.		CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U.S. Department of Labor. SEE ALSO RSIN 1.1.048.EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	
744.3.011	3.1.019	Performance Appraisals		AC	5			AC = After Termination Of Employment.		EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	29 CFR 1620.32(c).



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744.3.012	3.1.020	Personnel Corrective Action Documentation	This records series typically includes, but is not limited to: 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	4			AC = After Termination Of Corrective Action.		CAUTION: If, during the retention period of this records series, these records are used to document personnel disciplinary action under RSIN 3.1.021, all documentation used to support disciplinary action must be retained according to RSIN 3.1.021.	
744.3.013	3.1.021	Personnel Disciplinary Action Documentation	This records series typically includes, but is not limited to: Disciplinary actions are those which may affect pay, status, or tenure.	AC	5			AC = After Termination Of Employment.			
744.3.014	3.1.022	Personnel Information or Action Forms	This records series typically includes, but is not limited to: Records used to create or change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment.		2						29 CFR 1602.49(a).



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					Years	Months	Days				
744.3.015	3.1.023	Position / Job Descriptions	This records series typically includes, but is not limited to: Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	4			AC = After supersedence or job elimination.			40 TAC 815.106(i).
744.3.016	3.1.024	Physical Examinations / Medical Reports	This records series typically includes, but is not limited to: Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.	AC	2			AC = After supersedence or termination of employment.		CAUTION: Does not include pre-employment physical examinations. SEE ALSO RSIN 3.1.014.	



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744.3.017	3.1.026	Criminal History Checks	This records series typically includes, but is not limited to: Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC				AC = After the end of the probationary term of the individual's employment OR after one year, whichever is greater.		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, Texas Government Code for appropriate retention and use of this information. SEE ALSO RSIN 3.1.002.EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	Texas Government Code Section 411.094 for Institutions of Higher Education.
744.3.018	3.1.027	Training and Educational Achievement Records - Individual	This records series typically includes, but is not limited to: Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC	10			AC = After Termination Of Employment.		EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	



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744.3.019	3.1.029	Employment Eligibility, Documentation or Verification of	This records series typically includes, but is not limited to: Federal Reporting Form - INS I-9.	AC	1			AC = After 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.	8 CFR 274a.2(b)(2)(i)(A) and (c)(2).
744.3.020	3.1.031	Employee Benefits - Other Than Insurance	This records series typically includes, but is not limited to: Agency copies of information relating to the selection of available benefit options other than insurance.	AC	2			AC = After supersedence or termination of employment.		CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for RSIN 3.2.001.	
744.3.021	3.1.034	Resumes - Unsolicited	This records series typically includes, but is not limited to: Retention period applies if an agency replies to the sender of a resume that it will be kept on file should future job openings occur.	AV						SEE ALSO RSIN 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.	



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744.3.022	3.1.036	Apprenticeship Records - Interns	This records series typically includes, but is not limited to: Summary of applicant qualifications, evaluation basis for selection or rejection, 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.	AC	5						29 CFR 30.8(e).
744.3.023	3.1.037	Employee Recognition Records	This records series typically includes, but is not limited to: Awards, incentives, tenure, etc.	AC	5			AC = After Termination Of Employment.			



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744.3.024	3.1.038	Public Access Option Form	This records series typically includes, but is not limited to: Most recent version completed and signed by current / 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.	US						SEE ALSO RSIN 3.3.011.	
744.3.025	3.1.039	Ombudsman Records	This records series typically includes, but is not limited to: Consultation records, notes, letters, memos, emails, reports and other documentation.	AC				AC = After final decision or matter closed.	O	CAUTION: Does not include formal complaint filed with EEO. If matter becomes a grievance or the subject of counseling or litigation, or employee is subject to disciplinary action, the records are subject to retention in the appropriate records series. SEE ALSO 1.1.048, 3.1.006, 3.1.018, 3.1.020, and 3.1.021.	



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744.3.026	3.2.001	Employee Deduction Authorizations	This records series typically includes, but is not limited to: 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 employment or after amendment, expiration, or termination of authorization, whichever is soonest.			
744.3.027	3.2.002	Employee Earning Records			4						40 TAC 815.106(i).
744.3.028	3.2.003	Federal Tax Records	This records series typically includes, but is not limited to: 1099, W2, FICA, and other tax records.	AC	6			AC = After tax due date, date the claim is filed, or date the tax is paid, whichever is later.		EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	26 CFR 31.6001-1(e)(2).
744.3.029	3.2.004	Income Adjustment Authorizations	This records series typically includes, but is not limited to: Income adjustment authorizations used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.		2						29 CFR 516.6(c).



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744.3.030	3.2.005	W-4 Forms	This records series typically includes, but is not limited to: Employer's copy of "Employees' Withholding Exemption Certificate."	AC	4			AC = After supersedence or obsoletion, or upon separation of employee.			26 CFR 31.6001-1 (e)(2).
744.3.031	3.2.006	Wage Rate Tables			2						29 CFR 516.6(a)(2).
744.3.032	3.2.007	Unemployment Compensation Records		AC	5			AC = After Settled.			
744.3.033	3.2.008	Direct Deposit Application / Authorizations		US							
744.3.034	3.2.009	State Deferred Compensation Records		AC	5			AC = After all accounts with a vendor or vendors for the individual participant have been closed.		For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the Benefits Coordinator Reference Manual issued by the Employees Retirement System of Texas.	
744.3.035	3.2.010	Human Resources Information System (HRIS) Reports	This records series typically includes, but is not limited to: HRIS reports including supporting documentation.	AC	4			AC = After Completion.			



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744.3.036	3.3.001	Affirmative Action Plans	This records series typically includes, but is not limited to: Affirmative action plans for both regular employees and apprenticeship programs.		5						29 CFR 30.8(e). - For Apprenticeship Plans.
744.3.037	3.3.004	Benefit Plans	This records series typically includes, but is not limited to: Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; amendments.	US	1						29 CFR 1627.3(b)(2).
744.3.038	3.3.010	Labor Statistics Reports	This records series typically includes, but is not limited to: Reports providing statistical information on labor force.		3						
744.3.039	3.3.011	Former Employee Verification Records	This records series typically includes, but is not limited to: Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC	75			AC = After Termination of employment.		SEE ALSO RSIN 3.1.038.	



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744.3.040	3.3.015	Position / Job Description Classification Review Records	This records series typically includes, but is not limited to: Records relating to review and monitoring of job classifications within an agency.	US	3						
744.3.041	3.3.020	Work Schedules / Assignments	This records series typically includes, but is not limited to: Work, duty, shift, crew, or case schedules, rosters, or assignments.		1						
744.3.042	3.3.022	Texas Workforce Commission (TWC) Reports	This records series typically includes, but is not limited to: Reports to the agency from TWC or its predecessor pertaining to employees.		3						
744.3.043	3.3.023	Reimbursable Activities, Requests and Authorizations to Engage in	This records series typically includes, but is not limited to: 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	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	



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744.3.044	3.3.024	Policy and Procedures - Personnel	This records series typically includes, but is not limited to: Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of the agency.	US	3						
744.3.045	3.3.025	Job Procedure Records	This records series typically includes but is not limited to: Any documents detailing procedural duties and responsibilities of agency positions on a position by position basis.	US	3						
744.3.046	3.3.026	Agency Staffing Reports	This records series typically includes, but is not limited to: Any reports compiled on aspects of personnel staffing; staff hired during a month; listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonal employment, etc.	US	3						



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744.3.047	3.3.027-A	Aptitude and Skills Tests	This records series typically includes, but is not limited to: Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	PM						CAUTION: One copy of each different test - different in terms of test questions or administration procedures - should be retained for the period indicated. EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	29 CFR 1602.49(a).
744.3.048	3.3.027-B	Aptitude and Skills Tests	This records series typically includes, but is not limited to: 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 test questions or administration procedures - should be retained for the period indicated.	29 CFR 1602.49(a).



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744.3.049	3.3.028-A	Aptitude and Skills Tests - Test Papers	This records series typically includes, but is not limited to: Aptitude and skills test papers of job applicants or of current personnel taking a test to qualify for promotion or transfer.	PM						EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	29 CFR 1602.49(a).
744.3.050	3.3.028-B	Aptitude and Skills Tests - Test Papers	This records series typically includes, but is not limited to: Aptitude and skills test papers of job applicants or of current personnel taking a test to qualify for promotion or transfer.		2						29 CFR 1602.49(a).



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744.3.051	3.3.029-A	Aptitude and Skills Tests - Validation Records	This records series typically includes, but is not limited to: Records of the validation of aptitude and skills tests.	PM						EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	29 CFR 1602.49(a).
744.3.052	3.3.029-B	Aptitude and Skills Tests - Validation Records	This records series typically includes, but is not limited to: Records of the validation of aptitude and skills tests.	AC	2			AC = As long as the test is used by the university.			29 CFR 1602.49(a).
744.3.053	3.3.030	Training Administration Records	This records series typically includes, but is not limited to: Instructional materials and other records associated with in-house training of agency personnel on policies and procedures that govern the agency's programs, services, or projects.	US	2					CAUTION: Does not include hazardous materials training records. SEE ALSO RSIN 5.4.007.	



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744.3.054	3.3.031	EEO Reports and Supporting Documentation	This records series typically includes, but is not limited to: Documentation used to complete EEO reports.		3						29 CFR 1602.32; 1602.39; 1602.41; 1602.48; and 1602.50.
744.3.055	3.3.032	Equal Pay Records	This records series typically includes, but is not limited to: 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.
744.3.056	3.4.001	Accumulated Leave Adjustment Requests	This records series typically includes, but is not limited to: Documents employee leave balances, 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						
744.3.057	3.4.002	Leave Status Report	This records series typically includes, but is not limited to: Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3						



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744.3.058	3.4.004	Overtime Authorizations			2						
744.3.059	3.4.005	Overtime Schedules			2						
744.3.060	3.4.006	Time Cards and Time Sheets		FE	4						40 TAC 815.106(i).
744.3.061	3.4.007	Time Off and / or Sick Leave Requests		FE	3						
744.3.062	3.4.008	Sick Leave Pool Documentation	This records series typically includes, but is not limited to: Requests submitted, approvals, number of hours transferred in and out, etc.	FE	3						
744.4.001	4.1.001	Accounts Payable Information		FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	



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744.4.002	4.1.002-A	Billing Detail		FE	7					CAUTION: Does not include long distance telephone billing detail. SEE ALSO RSIN 5.5.001, 5.5.006, and 5.5.007. EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.4.003	4.1.002-B	Billing Detail - Tuition and Fees		FE	7					CAUTION: Does not include long distance telephone billing detail. SEE ALSO RSIN 5.5.001, 5.5.006, and 5.5.007. EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	



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744.4.004	4.1.003	Canceled Checks / Stubs / Warrants / Drafts		FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.4.005	4.1.004	Encumbrance Detail		FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.4.006	4.1.005	Inventory and Other Cost Files	This records series typically includes, but is not limited to: Production, job, labor, quotes, pricing, specifications, etc.	FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	



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3. Agency Item No.	4. RecordSeries 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				
744.4.007	4.1.007	Transfers or Budget Revisions	This records series typically includes, but is not limited to: Transfers or adjustment to budgets.	FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.4.008	4.1.008	Electronic Fund Transfers	This records series typically includes, but is not limited to: Direct Deposit Registers.	FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.4.009	4.2.001	Cash Deposit Vouchers	This records series typically includes, but is not limited to: Cash deposit slips.	FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	



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744.4.010	4.2.002	Cash Receipts	This records series typically includes, but is not limited to: Receipts for fees (permits, licenses, renewals, etc.)	FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.4.011	4.2.003	Daily Cash Receipts Logs		FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.4.012	4.2.004	Encumbrance Vouchers	This records series typically includes, but is not limited to: Orders, statements, change orders, etc.	FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	



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					Years	Months	Days				
744.4.013	4.2.005	Purchase Vouchers	This records series typically includes, but is not limited to: Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.4.014	4.2.006	General Journal Vouchers		FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.4.015	4.2.007	Expenditure Vouchers	This records series typically includes, but is not limited to: Travel, payroll, etc.	FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	



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					Years	Months	Days				
744.4.016	4.3.001	Sales - Journals or Registers		FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.4.017	4.3.002	Receipts - Journals or Registers		FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.4.018	4.3.003	Expenditures - Journals or Registers		FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	



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744.4.019	4.4.001	General and Subsidiary Ledgers		FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.4.020	4.4.002	Accounts Receivable Ledgers		FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.4.021	4.4.003	Accounts Payable Ledgers		FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	



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					Years	Months	Days				
744.4.022	4.4.004	Employee Savings Bond Ledgers		FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.4.023	4.5.001	Worksheets for Preparing Fiscal Reports		FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.4.024	4.5.002	Internal Fiscal Management Reports	This records series typically includes, but is not limited to: Agency monthly budget reports.	FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	



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744.4.025	4.5.003-A	Annual Financial Reports	This records series typically includes, but is not limited to: Annual financial reports which are required by the General Appropriations Act (100 Day Report).	PM						CAUTION: If an agency does not produce a biennial or annual narrative report as described in RSIN 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, TSLAC.EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	



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					Years	Months	Days				
744.4.026	4.5.003-B	Annual Financial Reports	This records series typically includes, but is not limited to: Annual financial reports which are required by the General Appropriations Act (100 Day Report).	AC	6			AC = After September 1 of odd-numbered calendar years.		CAUTION: If an agency does not produce a biennial or annual narrative report as described in RSIN 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, TSLAC.	
744.4.027	4.5.005	External Fiscal Reports	This records series typically includes, but is not limited to: Special purpose, i.e., federal financial reports, salary reports, etc. Includes HUB reports.	FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	



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744.4.028	4.5.006-A	Annual Operating Budget	This records series typically includes, but is not limited to: Annual operating budget which are required by the General Appropriations Act.	PM						EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	
744.4.029	4.5.006-B	Annual Operating Budget	This records series typically includes, but is not limited to: Annual operating budget which are required by the General Appropriations Act.	FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	



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744.4.030	4.6.001	Balancing Records		FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.4.031	4.6.002	Reconciliations		FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.4.032	4.6.003	Cash Counts		FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	



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					Years	Months	Days				
744.4.033	4.7.002	Bank Statements		FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.4.034	4.7.003	Returned Checks / Warrants / Drafts (Uncollectible)		AC	3			AC = After Deemed Uncollectible.			
744.4.035	4.7.004	Capital Asset Records		LA	3						
744.4.036	4.7.005	Claim Records		AC	3			AC = After Resolution of claim.			
744.4.037	4.7.006	Comptroller Statements		FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	



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					Years	Months	Days				
744.4.038	4.7.007	Detail Chart of Accounts	This records series typically includes, but is not limited to: One for all accounts in use for a fiscal year.	FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.4.039	4.7.008	Federal Grant Records	This records series typically includes, but is not limited to: State and federal grant projects participated in or administered by state agencies. It includes grant authorization records, which provide evidence of the award of grants to or by agencies; grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by agencies.	AC	10			AC = After satisfaction of all Uniform Administrative Requirements to Grants and Cooperative Agreements to State and Local Governments (the Common Rule), unless specified for a longer retention period in an individual contract.		CAUTION: Retention requirements may vary depending on the specific federal funding agency. Agencies must ensure that records are retained for the appropriate retention period. EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	OMB Circular A-110



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744.4.040	4.7.009	Fixed Asset Sequential Number Logs		LA	3			LA = Life of Asset.		EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.4.041	4.7.010	Long-Term Liability Records	This records series typically includes, but is not limited to: Bonds, etc.	AC	3			AC = After Retirement of debt.			
744.4.042	4.7.011	Texas Facilities Commission Statements	This records series typically includes, but is not limited to: Charge or bill statements received by agencies from the TFC for services provided.	FE	3						
744.4.043	4.7.012	Signature Authorizations	This records series typically includes, but is not limited to: Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	US	5					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	



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744.5.001	5.1.001-A	Contracts and Leases	This records series typically includes, but is not limited to: Contracts, leases, and agreements; general obligation, land lease, utilities, and construction except for buildings. Specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. Other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.a) Executed, renewed, or amended on or AFTER September 1, 2015.	AC	7			AC = Expiration or termination of the instrument according to its terms.		SEE ALSO RSIN 5.2.028 for building construction contracts and RSIN 5.1.017 for contract logs.	Texas Government Code § 441.1855.



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					Years	Months	Days				
744.5.002	5.1.001-B	Contracts and Leases	This records series typically includes, but is not limited to: Contracts, leases, and agreements; general obligation, land lease, utilities, and construction except for buildings. Specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. Other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.b) Executed, renewed, or amended on or BEFORE August 31, 2015.	AC	4			AC = Expiration or termination of the instrument according to its terms.		SEE ALSO RSIN 5.2.028 for building construction contracts and RSIN 5.1.017 for contract logs.	Texas Government Code § 441.1855.
744.5.003	5.1.003	Delivery Reports			2						
744.5.004	5.1.004	Mail and Telecommunication Listings	This records series typically includes, but is not limited to: Any mailing address, telephone or fax number, or e-mail address records maintained by an agency on its employees or on entities or persons it serves.	US							



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744.5.005	5.1.005	Postage Reports	This records series typically includes, but is not limited to: Records and reports of postage expenses including postal meter usage.	FE	3						
744.5.006	5.1.011	Photocopier and Telefax Usage Logs and Reports		AV							
744.5.007	5.1.012	Charge Schedules / Price Lists	This records series typically includes, but is not limited to: Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges.	US	3						



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744.5.008	5.1.013	Insurance Policies	This records series typically includes, but is not limited to: Insurance policies for vehicles, equipment, etc.	AC	10			AC = After Expiration or termination of the policy according to its terms.		EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	
744.5.009	5.1.014	Office Procedures	This records series typically includes, but is not limited to: 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						



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744.5.010	5.1.017	Contract Log	This records series typically includes, but is not limited to: List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.5.011	5.2.001	Appraisals – Building or Property		AV					O		
744.5.012	5.2.002	Building Construction Project Records	This records series typically includes, but is not limited to: Planning, design, and construction records; accepted and rejected bids; correspondence; etc.	AC	11			AC = After completion of project.	O	SEE ALSO RSIN 5.2.003 and 5.2.028. EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.5.013	5.2.003-A	Building Plans and Specifications, State Owned	This records series typically includes, but is not limited to: Architectural and engineering drawings, profiles, and blueprints.	LA					O	SEE ALSO RSIN 5.2.002 and 5.2.028. ARCHIVES NOTE: Archival review designation is for state-owned buildings only.	



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					Years	Months	Days				
744.5.014	5.2.003-B	Building Plans and Specifications, Leased	This records series typically includes, but is not limited to: Architectural and engineering drawings, profiles, and blueprints.	AC	2			AC = After termination or cancellation of lease (For leased buildings).		SEE ALSO RSIN 5.2.002 and 5.2.028. ARCHIVES NOTE: Archival review designation is for state-owned buildings only.	
744.5.015	5.2.004	Building Space Requests			1						
744.5.016	5.2.005	Calibration Records - Equipment or Instrument			10						
744.5.017	5.2.006	Property Destruction, Certificates of		FE	3						
744.5.018	5.2.007	Damage Reports	This records series typically includes, but is not limited to: Reports of damage to state property.	FE	3						
744.5.019	5.2.008	Equipment History Records	This records series typically includes, but is not limited to: Requests for installation, moves, service, etc. and service / repair logbooks, etc.	LA	3					CAUTION: For service agreements or contracts related to equipment repairs and service, retain in accordance with RSIN 5.1.001.	



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744.5.020	5.2.009	Equipment Inventory Detail Report Forms	This records series typically includes, but is not limited to: Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.5.021	5.2.010	Equipment Manuals		LA							
744.5.022	5.2.011	Equipment Warranties		AC	1			AC = After Expiration of Warranty.			
744.5.023	5.2.012	Estimate Records - Supply and Repair Costs			1						
744.5.024	5.2.014-A	Inventory	This records series typically includes, but is not limited to: Property, equipment, supply verification.	FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	



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744.5.025	5.2.014-B	Inventory - Annual Physical	This records series typically includes, but is not limited to: Property, equipment, supply verification.	FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.5.026	5.2.015	Inventory, Notices of Equipment Removed From		FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.5.027	5.2.017	Lost and Stolen Property Reports		FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	



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744.5.028	5.2.018-A	Quality Control Reports		PM						EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	
744.5.029	5.2.018-B	Quality Control Reports			10					EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	



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744.5.030	5.2.018-C	Quality Control Reports - Institutional Compliance			10					EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	
744.5.031	5.2.019-A	Service Orders	This records series typically includes, but is not limited to: Agency copies of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks.		1						



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744.5.032	5.2.019-B	Service Orders - IT Service Management Work Orders / Tickets	This records series typically includes, but is not limited to: Agency copies of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks.	FE	3					EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	
744.5.033	5.2.020	Supply Usage Records		FE	1						
744.5.034	5.2.021	Surplus Property Sale Reports		FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.5.035	5.2.022	Utility Usage Reports		AV							



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744.5.036	5.2.023	Year-to-Date Activity - Inventory Listing	This records series typically includes, but it is not limited to: Shows additions, changes, transfers, and deletions of information within the inventory system. Data include agency, division, tag number, batch, document, transaction date, location, item code, description, date, and cost.	FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.5.037	5.2.024	Material Specifications		AC	2			AC = After Material is no longer at the agency.			
744.5.038	5.2.025	Equipment Descriptions and Specifications		AC	2			AC = After Equipment is no longer at the agency.			
744.5.039	5.2.026	Facilities Reservation Logs	This records series typically includes, but it is not limited to: Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.		2						
744.5.040	5.2.027-A	Space Utilization Reports		AV							



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744.5.041	5.2.027-B	Space Utilization Reports			10					EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	
744.5.042	5.2.028	Building Construction Contract and Inspection Records	This records series typically includes, but it is not limited to: Building construction contracts, surety bonds, and inspection records.	LA	11				O	SEE ALSO RSIN 5.2.002 and 5.2.003. EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	



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744.5.043	5.3.002	Freight Bills Paid		FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.5.044	5.3.003	Freight Claims		AC	2			AC = After Resolution of Claim.			
744.5.045	5.3.004	Order - Acknowledgments		AV							
744.5.046	5.3.005-A	Packing Slips			3						
744.5.047	5.3.005-B	Packing Slips - Pre-Packing Cards for Drugs			5					EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	



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744.5.048	5.3.007	Unsuccessful Bid Documentation	This records series typically includes, but it is not limited to: Bid requisition / authorizations, invitations to bid or propose, bid specifications, rejected bids, and bid tabulation/evaluations.	FE	7					CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE ALSO RSIN 5.1.001 and 5.2.028. EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.5.049	5.3.008	Purchasing Logs	This records series typically includes, but it is not limited to: A log or register, providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	



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744.5.050	5.3.009	Requests for Information	This records series typically includes, but it is not limited to: Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC				AC = After Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.		CAUTION: If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with RSIN 5.3.007.	
744.5.051	5.4.001-A	Accident Reports and Associated Documentation - Exposures	This records series typically includes, but it is not limited to: Accident or occupational disease reports and other associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally on accident frequency.	CE	30			CE = Year of Incident.		The Texas Department of Insurance retains copies of the reports submitted for 50 years.	29 CFR 1904.33. American College of Occupational and Environmental Medicine.
744.5.052	5.4.001-B	Accident Reports and Associated Documentation - Non-Exposures	This records series typically includes, but it is not limited to: Accident or occupational disease reports and other associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally on accident frequency.	CE	5			CE = Year of Incident.		The Texas Department of Insurance retains copies of the reports submitted for 50 years.	29 CFR 1904.33. American College of Occupational and Environmental Medicine.



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744.5.053	5.4.001-C	Accident Reports and Associated Documentation - Worker's Compensation Records (WCI)	This records series typically includes, but it is not limited to: Accident or occupational disease reports and other associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally on accident frequency.	CE	30			CE = Year of Incident.		The Texas Department of Insurance retains copies of the reports submitted for 50 years.	29 CFR 1904.33. American College of Occupational and Environmental Medicine.
744.5.054	5.4.003-A	Inspection Records	This records series typically includes, but it is not limited to: Fire, safety, and other inspection records of agency facilities and equipment.	PM						CAUTION: Does not include inspection reports of building construction. SEE ALSO RSIN 5.2.028. EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	



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744.5.055	5.4.003-B	Inspection Records	This records series typically includes, but it is not limited to: Fire, safety, and other inspection records of agency facilities and equipment.	AC	3			AC = After Inspection of, or After Date of the correction of the deficiency, if the inspection report reveals a deficiency.		CAUTION: Does not include inspection reports of building construction. SEE ALSO RSIN 5.2.028.	
744.5.056	5.4.004	Fire Orders	This records series typically includes, but it is not limited to: Orders issued by the Fire Marshal to correct deficiencies in compliance with the fire code.	AC	3			AC = After Deficiency has been corrected.			Texas Health and Safety Code § 502.009(g).
744.5.057	5.4.007	Hazardous Materials Training Records	This records series typically includes, but it is not limited to: Records of training given employees in an agency hazard communication program.		5						Texas Health and Safety Code § 502.009(g).
744.5.058	5.4.008-A	Hazard Communications Plans		US	5						



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744.5.059	5.4.008-B	Hazard Communications Plans		PM						EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	Texas Health and Safety Code § 502.005(d).
744.5.060	5.4.009	Workplace Chemical Lists			30						
744.5.061	5.4.010-A	Material Safety Data Sheets		PM						EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	



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744.5.062	5.4.010-B	Material Safety Data Sheets		AC				AC = After sheets are updated or hazardous chemicals no longer stored by agency, as applicable.			
744.5.063	5.4.011	Visitor Control Registers	This records series includes, but is not limited to: Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.		3						
744.5.064	5.4.012	Security Access Records	This record series includes, but is not limited to: 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 = After date of expiration or termination; or until superseded, whichever is soonest.			
744.5.065	5.4.013	Disaster Preparedness and Recovery Plans		US	10					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	



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744.5.066	5.5.001	Billing Detail – Telecommunications - Other than TEX-AN	This record series includes, but is not limited to: Summary detail, includes any accompanying detailed listing of long distance calls.	FE	7					SEE ALSO RSIN 5.5.006 for TEX-AN billing detail. EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.5.067	5.5.002	Long Distance Telephone Logs	This record series includes, but is not limited to: Long distance logs created by agencies for internal documentation purposes. Includes any similar logs created for long distance facsimile or electronic transmissions.	AV							
744.5.068	5.5.003	Station Activity Reports	This record series includes, but is not limited to: Internal listing of incoming / outgoing telephone activity to individual telephone stations.	AV							



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744.5.069	5.5.004	System Activity Reports	This record series includes, but is not limited to: Internal listing of all incoming / outgoing agency telephone activity.	AV							
744.5.070	5.5.006	Billing Detail – Telecommunications -TEX-AN	This record series includes, but is not limited to: Summary detail, includes any accompanying detailed listing of long distance calls.	FE	7					The billing agency will maintain all long distance TEX-AN records and will provide each agency its bill summary of centralized capitol complex telephone service without call detail records. For these bill summaries, SEE ALSO RSIN 4.7.011. SEE ALSO RSIN 5.5.001 for billing detail from carriers other than TEX-AN.	
744.5.071	5.5.007	Disputed Call Documentation	This record series includes, but is not limited to: Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance usage.	FE	7					EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	



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					Years	Months	Days				
744.5.072	5.6.003	Inspection, Repair, and Maintenance Records - Vehicles		LA	1						
744.5.073	5.6.004	License and Driving Record Checks		AC	2			AC = After supersedence or after termination of employment.		EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.5.074	5.6.005	Vehicle Use Reports	This record series includes, but is not limited to: Mileage, fuel / oil consumption, passengers carried and other related operational information.	FE	3						
744.5.075	5.6.007	Vehicle Titles and Registration		LA							



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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
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3. Agency Item No.	4. RecordSeries 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				
744.5.076	5.6.009	Parking Permits or Assignments		US	3					EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	



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					Years	Months	Days				
744.9.001	11.1.002	Alumni Records	This records series typically includes, but is not limited to: Records which document the activities of an institution or department's alumni and may also provide alumni offices with information on alumni; memberships lists with names, addresses, employer names and addresses, and positions; minutes, by-laws and directories of clubs throughout the country; promotional materials concerning gatherings; homecoming plans and programs; records for individual alumni; degree recipient lists; outstanding alumni lists; student leader lists; class officer lists; foreign student rosters; international alumni club records; and notes, memoranda, and related correspondence concerning general alumni affairs.	PM							



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					Years	Months	Days				
744.9.002	11.1.008	External Committee Records - Memberships / Affiliations - Professional Organizations	This records series typically includes, but is not limited to: the relationship and participation of institution units in external professional and educational associations and other organizations. Includes promotional information; rules and regulations; reports; proposals and planning records; workshop and conference records; surveys and questionnaires; minutes; and related documentation and correspondence.	AV						CAUTION: SEE ALSO URRS 11.1.015-A for meeting records of internal university committees. EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.9.003	11.1.012	Student / Alumni Surveys and Questionnaires	This records series typically includes, but is not limited to: Customer /patient /staff /student /employee satisfaction; usage; information gathering and demographics surveys and questionnaires.	AC	3			AC = After Final Disposition of Summary Report.		EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	



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744.9.004	11.1.015-A	University Committee Records	This records series typically includes, but is not limited to: records relating to internal committees; minutes, agendas and supporting documentation for agenda items; attendance rosters; final reports and related records documenting the accomplishments of the committee.		3				O	NOTE: Committees that pertain to school governance are listed as "Standing Committees" elsewhere in this Records Retention Schedule and have a different retention period. CAUTION: SEE ALSO URRS 11.1.008 for meeting records of external committees.	



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744.9.005	11.1.015-B	Standing Committees - Academic Standards	This records series typically includes, but is not limited to: records relating to the establishment, organization, membership, and policy of school-centric committees, specifically related to issues regarding academic standards and requirements; minutes, agendas and supporting documentation for agenda items; attendance rosters; final reports and related records documenting the accomplishments of the committee.	PM					O	This category applies to those committees that pertain to academic standards. Members are appointed or elected for a set term; minutes are taken and retained as the record of those actions determined by the committee. NOTE: This category does not apply to the broad range of ad-hoc committees that are formed to address particular issues; whose members are not elected and terms of participation are not predetermined. This series has a different retention period.	



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744.9.006	11.1.015-C	Standing Committees - Admissions	This records series typically includes, but is not limited to: records relating to the establishment, organization, membership, and policy of school-centric committees, specifically related to issues regarding admissions; minutes, agendas and supporting documentation for agenda items; attendance rosters; final reports and related records documenting the accomplishments of the committee.	PM					O	This category applies to those committees that pertain to admissions. Members are appointed or elected for a set term; minutes are taken and retained as the record of those actions determined by the committee. NOTE: This category does not apply to the broad range of ad-hoc committees that are formed to address particular issues; whose members are not elected and terms of participation are not predetermined. This series has a different retention period.	



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744.9.007	11.1.015-D	Standing Committees - Curriculum Development	This records series typically includes, but is not limited to: records relating to the establishment, organization, membership, and policy of school-centric committees, specifically related to issues regarding curriculum development; minutes, agendas and supporting documentation for agenda items; attendance rosters; final reports and related records documenting the accomplishments of the committee.	PM					O	This category applies to those committees that pertain to curriculum development. Members are appointed or elected for a set term; minutes are taken and retained as the record of those actions determined by the committee. NOTE: This category does not apply to the broad range of ad-hoc committees that are formed to address particular issues; whose members are not elected and terms of participation are not predetermined. This series has a different retention period.	



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744.9.008	11.1.015-E	Standing Committees - Executive	This records series typically includes, but is not limited to: records relating to the establishment, organization, membership, and policy of school-centric and faculty governance committees, specifically related to executive-level issues; minutes, agendas and supporting documentation for agenda items; attendance rosters; final reports and related records documenting the accomplishments of the committee.	PM					O	This category applies to those committees that pertain to executive issues. Members are appointed or elected for a set term; minutes are taken and retained as the record of those actions determined by the committee. NOTE: This category does not apply to the broad range of ad-hoc committees that are formed to address particular issues; whose members are not elected and terms of participation are not predetermined. This series has a different retention period.	



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					Years	Months	Days				
744.9.009	11.1.015-F	Standing Committees - Membership	This records series typically includes, but is not limited to: records relating to the establishment, organization, membership, and policy of school-centric committees, specifically related to issues regarding membership; minutes, agendas and supporting documentation for agenda items; attendance rosters; final reports and related records documenting the accomplishments of the committee.	PM					O	This category applies to those committees that pertain to membership. Members are appointed or elected for a set term; minutes are taken and retained as the record of those actions determined by the committee. NOTE: This category does not apply to the broad range of ad-hoc committees that are formed to address particular issues; whose members are not elected and terms of participation are not predetermined. This series has a different retention period.	



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					Years	Months	Days				
744.9.010	11.1.015-G	Standing Committees - Program Coordinating	This records series typically includes, but is not limited to: records relating to the establishment, organization, membership, and policy of school-centric committees, specifically related to issues regarding programs; minutes, agendas and supporting documentation for agenda items; attendance rosters; final reports and related records documenting the accomplishments of the committee.	PM					O	This category applies to those committees that pertain to programs. Members are appointed or elected for a set term; minutes are taken and retained as the record of those actions determined by the committee. NOTE: This category does not apply to the broad range of ad-hoc committees that are formed to address particular issues; whose members are not elected and terms of participation are not predetermined. This series has a different retention period.	



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					Years	Months	Days				
744.9.011	11.1.015-H	Standing Committees - School Management	This records series typically includes, but is not limited to: records relating to the establishment, organization, membership, and policy of school-centric and faculty governance committees; minutes, agendas and supporting documentation for agenda items; attendance rosters; final reports and related records documenting the accomplishments of the committee.	PM					O	This category applies to those committees that pertain to school governance. Members are appointed or elected for a set term; minutes are taken and retained as the record of those actions determined by the committee. NOTE: This category does not apply to the broad range of ad-hoc committees that are formed to address particular issues; whose members are not elected and terms of participation are not predetermined. This series has a different retention period.	



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744.9.012	11.1.015-I	Standing Committees - Student Affairs	This records series typically includes, but is not limited to: records relating to the establishment, organization, membership, and policy of school-centric committees, specifically related to issues regarding student affairs; minutes, agendas and supporting documentation for agenda items; attendance rosters; final reports and related records documenting the accomplishments of the committee.	PM					O	This category applies to those committees that pertain to student affairs. Members are appointed or elected for a set term; minutes are taken and retained as the record of those actions determined by the committee. NOTE: This category does not apply to the broad range of ad-hoc committees that are formed to address particular issues; whose members are not elected and terms of participation are not predetermined. This series has a different retention period.	



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744.9.013	13.2.005	Endowment Records	This records series typically includes, but is not limited to: Potential or realized private, corporate, or public agency funding to the institution, including endowments and trusts; letters and agreements of gift, copies of bequest instruments and wills from individuals or estates, and related documentation and correspondence.	PM				AC = After End Of Affected Semester.			
744.9.014	14.1.002	Radiation Safety Committee	This records series typically includes, but is not limited to: the establishment, organization, and policy of the radiation safety committee; may include licensing and registration, purchase, shipment, training, use, monitoring, disposal and transfer of radiation sources or source materials and radiation producing machinery; minutes, agendas and supporting documentation for agenda items; incident and response reports.	PM							



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744.9.015	15.1.001	Student Admission Records	This records series typically includes, but is not limited to: Application, Letters of Recommendation, Waivers; Tests/Results/Scores for Entrance / Advanced Placement; Transcripts (high school and college), Recruitment Records; Military Records; Medical Records; Residency affidavit; Conditional enrollment and re-admission forms; Acceptance Letter; and related Correspondence. International student admissions records are included in this series.	AC	5			AC = After Graduation Or Date Of Last Attendance.		CAUTION: International student academic records must be retained at least 1 year after final notice to U.S. Citizenship and Immigration Services (USCIS). CAUTION: SEE ALSO URRS 12.1.002 and URRS 12.1.004 for additional retention requirements for International student records. SEE ALSO the section titled, "Supplemental Notes – Student Records" in the UHealth Records Retention Schedule.	



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744.9.016	15.5.006	Statistical Reports	This records series typically includes, but is not limited to: Annual statistical reports related to academic subjects, admissions reports, enrollment statistics, grades, graduates/degree statistics, racial/ethnic composition, and other education-related matters submitted to the governing body, state or federal agencies, or accrediting organizations.	PM					I		
744.9.017	15.5.007-A	Student Conduct / Student Disciplinary Action for Minor Infractions		AC	5			AC = After Graduation Or Date Of Last Attendance.		Depending on Penalty Assessed, record may be retained permanently.	SEE REGENT'S RULES AND REGULATIONS - PART ONE, CHAPTER VI, SECTION 3.8.



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744.9.018	15.5.007-B	Student Conduct / Student Disciplinary Action for Serious Rule Infractions, up to and including Criminal Behavior		PM				AC = After Graduation Or Date Of Last Attendance.		Depending on Penalty Assessed, record may be retained permanently. EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	SEE REGENT'S RULES AND REGULATIONS - PART ONE, CHAPTER VI, SECTION 3.8.
744.9.019	16.1.012	Drug Recall Notices	This records series typically includes, but is not limited to: United States Food and Drug Administration (FDA) and manufacturer recalls on drugs; reportable occurrences of drug use, and responses by departments.	AC	5			AC = After the records of manufacture have been completed for five years or six months after the latest expiration date for the individual product, whichever is later.	I		21 CFR 600.12; 21 CFR 7.49



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744.9.020	16.1.025-A	Patient Medical Records - Adult	This records series typically includes, but is not limited to: Patient care documents. The Medical Record is designed to contain written interpretations of all significant clinical information gathered for a given patient, whether as an inpatient, outpatient, or emergency care patient.	AC	10			AC = After Admission.			Texas Hospital Licensing Law, Texas Health and Safety Code Annotated, Section 241.103 - Vernon 1992; Texas Board of Medical Examiners; 22 TAC 165(b)(2).
*744.9.021	16.1.025-B	Patient Medical Records - Pediatrics	This records series typically includes, but is not limited to: Patient care documents. The Medical Record is designed to contain written interpretations of all significant clinical information gathered for a given patient, whether as an inpatient, outpatient, or emergency care patient.	AC	7			AC = Until the patient is 21, or for 7 years from last date of treatment, whichever is longer			



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744.9.022	16.1.025-C	Patient Dental Records - Adult	This records series typically includes, but is not limited to: Patient care documents. The Dental Record is designed to contain written interpretations of all significant clinical information gathered for a given patient, whether as an inpatient, outpatient, or emergency care patient.	AC	10			AC = After Date of last visit.		EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	Texas Board of Dental Examiners; 22 TAC 109.44(b) RETENTION NOTE: Due to the use of these records for identification purposes, the Texas Department of Public Safety (DPS) recommends dental records be retained a minimum of 10 years.



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744.9.023	16.1.025-D	Patient Dental Records - Pediatrics	This records series typically includes, but is not limited to: Patient care documents. The Dental Record is designed to contain written interpretations of all significant clinical information gathered for a given patient, whether as an inpatient, outpatient, or emergency care patient.	AC	10			AC = After Patient Reaches 21 Years of Age or After the last date of service, whichever is later.		EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	Texas Board of Dental Examiners; 22 TAC 109.44(b) RETENTION NOTE: Due to the use of these records for identification purposes, the Texas Department of Public Safety (DPS) recommends dental records be retained a minimum of 10 years.



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					Years	Months	Days				
744.9.024	16.1.026	Patient Medical Records - Student / Employee Health	This records series typically includes, but is not limited to: The medical services history provided for students treated by the student health center. Includes appointment request slips; summary sheets; test results; treatment record forms; diagnosis sheets; health history/screening sheets; initial evaluation/assessment sheets; referral sheets; health center billing statements; personal health history sheets; dental examination sheets and X-rays; physical therapy notes; notes; memoranda; and related correspondence.	AC	10			AC = After Date of last service or after patient reaches 21 years of age, whichever is later.		EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	Texas Hospital Licensing Law, Texas Health and Safety Code Annotated, Section 241.103 - Vernon 1992; Texas Board of Medical Examiners; 22 TAC 165(b)(2).



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744.9.025	16.1.031	Pharmacy Medication Administration Records	This records series typically includes, but is not limited to: Inventory and other records of the purchase, acquisition, disposal, or dispensation of drugs as required by federal law and regulations, state law, and the rules of the Texas State Board of Pharmacy (TSBP).	AC	5			AC = After the date that the record was created, or the prescription was last filled, whichever is later.		CAUTION: SEE ALSO URRS 16.1.032 for prescription records. By federal regulation, inventories and records of all controlled substances must be maintained separately from all other records of the pharmacy. EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	21 CFR 1304.04(a); Health and Safety Code, Section 481.0679 (c); 37 TAC 13.207.
744.9.026	16.1.032	Medicine Prescriptions	This records series typically includes, but is not limited to: Paper prescription slips or electronic prescription records for controlled substances maintained in accordance with federal law and regulations, state law, and the rules of the Texas State Board of Pharmacy (TSBP).	AC	5			AC = After Close.			



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					Years	Months	Days				
744.9.027	16.1.037	Resident / Postdoctoral Fellowship Records	This records series typically includes, but is not limited to: Records which reference a medical student in the post graduate phase of education: residency and postdoctoral fellowship programs - assignments; schedule, grades; assessments and evaluations; outcomes; summative evaluations; letters of recommendation; contract renewals for training and employment; Certification of Residency; Completion of Resident Program; and related correspondence.	AC	50			AC = After Graduation Or Date Of Last Attendance.		CAUTION: This series does not include regular Continuing Medical Education or employee training records; it is specific to the training requirements for medical residents and fellows.	Texas Government Code Sec. 552.1235.
744.9.028	16.3.036	Offense Records - Class C Misdemeanors	This records series typically includes, but is not limited to: Arrest reports and citations for Class C misdemeanors and unclassified violations of state law or local ordinance punishable by fine only, such as Minor in Possession (MIP), Minor in Consumption (MIC), and possession of drug paraphernalia.	AV						AC = After Completion.	



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744.9.029	16.3.027	Campus Security and Incident Reports	This records series typically includes, but is not limited to: Reports concerning suspicious incidents or complaints that, after investigation, might / might not have involved the commission of a crime. This series may include but not limited to: incident reports containing names, dates, case numbers, dollar values, locations, descriptions of incident, and personnel taking report; identification cards created when reports of suspicious behavior are made to the office; warnings records; notes; and related documentation.	AC	10			AC=After Resolution of the Incident.		Information may be exempt from public disclosure. EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	20 U.S.C. 1092(f)



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744.9.030	16.3.040	Parking Stickers / Housing Hang Tags	This records series typically includes, but is not limited to: The issuance of permits for on-campus parking; university housing; annual permit cards; temporary permits; parking permits reports; and related documentation and correspondence.	AC	3			AC = After Expiration or Term of Lease.		EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	
744.9.031	16.4.005	Housing - Apartment Lease Records - Individual	This records series typically includes, but is not limited to: A record of occupancy in all institution administered housing -- residence halls, family housing, or cooperative housing; housing applications and contracts; proof of admission records; and related documentation and correspondence.	AC	5			AC = After Term of Lease.		EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.9.032	17.1.009	Syllabi and Course Schedules		AC	5			AC = After End Of Affected Semester.			Texas Education Code Sec. 51.974



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744.9.033	17.1.018	Student Course / Non-Tenure Faculty Evaluations	This records series typically includes, but is not limited to: Student 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. Includes student opinions on faculty's familiarity with current literature of the discipline, preparation, assignments, examinations, lecture styles, willingness to engage in dialogue, and availability. Records include: input documents (bubble forms) course reaction inventory printouts; statistical tabulations; summary reports; and related documentation and correspondence.	AC	5			AC = After End of Affected Semester.		EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	



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					Years	Months	Days				
744.9.034	17.1.019	Student Course / Tenure Track Faculty Evaluations	This records series typically includes, but is not limited to: Student evaluations of tenure-track teaching personnel which is used to help determine faculty tenure, promotion, merit increases and/or to review instructional courses and programs. Includes student opinions on faculty's familiarity with current literature of the discipline, preparation, assignments, examinations, lecture styles, willingness to engage in dialogue, and availability. Records include: input documents (bubble forms) course reaction inventory printouts; statistical tabulations; summary reports; and related documentation and correspondence.	AC	10			AC = After End of Affected Semester.		EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	



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744.9.035	17.2.001	Professional Accreditation Records - Working Papers and Supporting Documentation	This records series typically includes, but is not limited to: Records that document the accreditation process for the university, schools, units, and related programs. Reports, suggestions and recommendations concerning organizational structure and administration received from study committees of accrediting associations. The series provides a record of materials compiled for inclusion in a report packet sent to the appropriate professional accreditation board for the specific program or service and usually includes statements on mission, finance, educational programs and departments/divisions make up. Most accreditation organizations produce an evaluation report based on the packet and on-site inspection, which is used to determine accreditation for the units and their programs. Includes: statistical data; faculty CV's and licensure records; working papers; correspondence; and other related records.	AC				AC = After the completion of two (2) accreditation cycles.			



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744.9.036	17.2.002	Professional Accreditation Records - Final Report	This records series typically includes, but is not limited to: Records that document the accreditation process for the university, schools, units, and related programs. The series provides a record of materials compiled for inclusion in a report packet sent to the appropriate professional accreditation board for the specific program or service and usually includes statements on mission, finance, educational programs and departments/divisions make up. Most accreditation organizations produce an evaluation report based on the packet and on-site inspection, which is used to determine accreditation for the units and their programs. Includes: self-evaluation reports; final reports sent to accreditation organization; accreditation organization evaluation report; and related documentation and correspondence.	PM					O		



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744.9.037	17.3.011	Patent and Invention Records - Patents, Licensing, and Disclosure Records	This records series typically includes, but is not limited to: The transfer of technology from this institution to outside agencies as the result of research projects and grants carried out at the institution; original patents; international licensing agreements; and invention disclosure forms that list the names of the inventors and to whom the inventions have been disclosed.	AC	20			AC = After Expiration of the Patent.		EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.9.038	17.3.014	Protocols / Proposals - Funded	This records series typically includes, but is not limited to: Funded research grant proposals, and research activity associated with sponsored or grant-funded projects.	AC	7			AC = After Completion.		CAUTION: Grants and sponsors may have individual guidelines for retention. Records must be retained in accordance with guidelines of grant or contract. Federal grant records should comply with uniform administrative requirements for grants and cooperative agreement to state and local governments.	45 CFR 46.115(b), NIH Guidelines, OMB Circular A: 110-.53.



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744.9.039	17.3.016	Scientific Misconduct Hearings	This records series typically includes, but is not limited to: Accusations of misconduct brought forward by or against university personnel and affiliates and relating to research projects. Includes accusation statements; inquiry committee findings; and related correspondence.	PM						EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	42 CFR 93.317(b)
744.9.040	17.3.017	Protocols / Proposals - Unfunded Research Grant Proposal Development Records	This records series typically includes, but is not limited to: The administrative activities involved in the formulation and deliberations leading to submitting a grant proposal for research project funding; working papers and related correspondence.	AV						EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	
744.9.041		Academic Calendars		PM							



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744.9.042		Affiliation Agreements - Departments / Programs		AC	10			AC = After Close.			
744.9.043		Affiliation Agreements - Executive Departments / Programs		PM						EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	



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744.9.044		Applicant Records	This records series typically includes, but is not limited to: Records which reference a person / applicant during the period of application, acceptance, and admission to the University, prior to actual enrollment in classes. NOTE: Applicant records become student records after the student has been admitted, enrolled in, and been in attendance, at the University.	AC	2			AC = After End Of Affected Semester.		SEE ALSO the section titled, "Supplemental Notes – Student Records" in the UTHealth Records Retention Schedule.	
744.9.045		BUY Card Requests		FE	7						
744.9.046		Census Records			10						
744.9.047		Clinical Rotations - Faculty	This records series typically includes, but is not limited to: Records which reference a medical student in the clinical phase of education: assignments; schedule, grades; assessments and evaluations; outcomes; and correspondence.	PM						EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	



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744.9.048		Clinical Rotations - Medical Students	This records series typically includes, but is not limited to: Records which reference a medical student in the clinical phase of education: assignments; schedule, grades; assessments and evaluations; outcomes; and correspondence.	AC	5			AC = After Graduation Or Date Of Last Attendance.			21 CFR 312.57
744.9.049		Clinical Trials / Drug Studies	This records series typically includes, but is not limited to: Research data and documentation gathered or created in the course of a clinical trial; includes case history records; proposal, protocol, and amendments to the agreement; patient care data; clinical procedures; FDA forms; serious adverse events reports; consent forms and selection criteria.	AC	15			AC = After Completion and Upon Receipt of Notice of New Drug Application Approval or Investigational New Drug Withdrawal.			
744.9.050		Commencement Programs		PM					I		
744.9.051		Coordinating Board Reports		AC	10			AC = After End Of Affected Semester.			



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744.9.052		Course Contents	This records series typically includes, but is not limited to: Records which document departmental course offerings and individual course contents: credits; syllabi; course descriptions; course outlines; course summaries; course requests and proposals; curriculum approval lists; lists of classes by term; bibliographies; reading lists; textbook lists; course announcements; handouts; faculty lecture notes, master copy of exams, correspondence and miscellaneous instructional materials.	AC	5			AC = After End Of Affected Semester.			



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744.9.053		Curriculum Development	This records series typically includes, but is not limited to: development of new academic programs; or the content of courses offered by academic departments: title and description; course identification number; number of instructional hours / credits; prerequisites; required text(s); performance based learner outcomes; and an outline of the course content. May include applications for course approval; budgetary impact analysis, labor market analysis, instructor qualifications, and correspondence.	AC	5			AC = After Completion.			
744.9.054		Curriculum Vitae		AC	5			AC = After Update.			
744.9.055		Dean's List		PM							



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744.9.056		Deeds and Other Legal Titles	This records series typically includes, but is not limited to: Property deeds; appraisals, surveys; descriptions of property; the names of grantors and grantees; mortgagers and mortgagees; and other supporting documents.	LA	5						
744.9.057		Demographic Reports / Financial Screening		AC	5			AC = After Admission.			
744.9.058		Dosimetry Records		PM							
744.9.059		Drug Enforcement Agency (DEA) Drug Certificate of Disposition		AC	3			AC = After Completion.			
744.9.060		Drug Replacement Programs			5						



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744.9.061		Experiments and Tests		AV						Routine Laboratory Slides / Work. Does not include Communicable Disease Records, RSIN 16.1.006 or Final Laboratory Test Reports - Pathology, RSIN 16.1.013/ Reports.	
744.9.062		Faculty Disciplinary Action		PM						EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	



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744.9.063		Faculty Recruitment / Search Committees	This records series typically includes, but is not limited to: selection of committee members; roster; job posting and criteria; recruiting and advertising; applicant selection criteria; resumes, applications and references; phone interviews and initial contact with applicants; background checks; sanction checks; waiver /special circumstance requests; campus visits and interviews; travel plans and schedules; candidate selection and job offers, and other related documentation and correspondence.	AC	5			AC = After Completion.			
744.9.064		Federal Compliance Reporting		PM							
744.9.065		Fingerprints / Booking Photographs		PM							



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					Years	Months	Days				
744.9.066		Gift / Donor Records	This records series typically includes, but is not limited to: Potential or actual private, corporate, or public agency funding, including endowments, gifts, and trusts; award guidelines; letters and agreements of gifts; names and amounts of donations received; conditions placed on donations; bequest instruments and wills; gift / pledge transmittal forms; solicitation material; acknowledgement letters; copies of checks or securities documents; financial statements and reports; and other related documentation and correspondence.	PM					I		



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					Years	Months	Days				
744.9.067		GPA Admission Audits		PM						EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	



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					Years	Months	Days				
744.9.068		Grade Sheets	This records series typically includes, but is not limited to: Grades awarded by instructors and serve as the basis for official academic records; Permanent Record Cards, Grade Cards, Grade Sheets; student names and social security numbers or ID numbers; course titles and numbers; sections; grades awarded; and instructor signatures.	PM						CAUTION: This retention period applies to records of the Registrar. Departmental copies of grade sheets are convenience copies. EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	



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744.9.069		Graduation Lists - All Schools		PM						EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	



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					Years	Months	Days				
744.9.070		Grants - Indirect Cost Calculations	This records series typically includes, but is not limited to: Administrative and Facilities tasks, functions and costs which cannot be directly allocated to a specific grant. Includes data regarding expenses from a particular budget that cannot be included on an indirect cost proposal. The records series may also include data gathered from departments about the allocation of staff time for various grant-related activities, including research, instruction, administration, etc.	AC	10			AC = After Terms of Grant.		EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	Includes retention set by the Federal Office of Management and Budget (OMB) Circular A-21.
744.9.071		Grants - Sponsored Research Budgets		AC	10			AC = After Terms of Grant.		EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	Includes retention set by the Federal Office of Management and Budget (OMB) Circular A-21.
744.9.072		Housing - Work Orders			5						



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744.9.073		HUB Vendor Applications		FE	7						
744.9.074		Human Subject Consent Forms		PM							
744.9.075		Immigration Records - International Affairs	This records series typically includes, but is not limited to: records of students, staff and employees that determine immigration, naturalization, citizenship, country of origin and the legal right to work / study in this country.	AC	5			AC = After Status Change or After Graduation Or Date of Last Attendance.			



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					Years	Months	Days				
744.9.076		Individual Personnel Records - Employee	This records series typically includes, but is not limited to: Department created and managed personnel records; job descriptions, work assignments; progress reports, and performance evaluations; CV's and resumes for employees and staff. This RSIN does not contain personnel records of enduring value as defined by the Texas State Library which are maintained in the PeopleSoft Human Capital Management system (HCM).	AC	5			AC = After Termination.		SEE ALSO the section titled, "Supplemental Notes – Employee Personnel Records" in the UTHealth Records Retention Schedule. SEE ALSO RSIN 3.3.011. This RSIN addresses the minimum information needed to verify employment, name, social security number, exact dates of employment, last known address and most recent public access option form.	



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					Years	Months	Days				
744.9.077		Individual Personnel Records - Faculty	This records series typically includes, but is not limited to: Departmental created and managed personnel records; job descriptions, work assignments; progress reports, and performance evaluations; CV's and resumes for Faculty. This RSIN does not contain personnel records of enduring value as defined by the Texas State Library which are maintained in the PeopleSoft Human Capital Management system (HCM).	AC	10			AC = After Termination.		SEE ALSO the section titled, "Supplemental Notes – Employee Personnel Records" in the UTHealth Records Retention Schedule. SEE ALSO RSIN 3.3.011. This RSIN addresses the minimum information needed to verify employment, name, social security number, exact dates of employment, last known address and most recent public access option form.	



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744.9.078		Individual Personnel Records - Police	This records series typically includes, but is not limited to: Department created and managed personnel records; job descriptions, work assignments; progress reports, and performance evaluations; CV's and resumes for Police. This RSIN does not contain personnel records of enduring value as defined by the Texas State Library which are maintained in the PeopleSoft Human Capital Management system (HCM).	AC	10			AC = After Termination.		This RSIN does not contain records from Internal Affairs. SEE ALSO the section titled, "Supplemental Notes – Employee Personnel Records" in the UHealth Records Retention Schedule. SEE ALSO RSIN 3.3.011. This RSIN addresses the minimum information needed to verify employment, name, social security number, exact dates of employment, last known address and most recent public access option form.	



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744.9.079		Individual Personnel Records - Resident	This records series typically includes, but is not limited to: Department created and managed personnel records; job descriptions, work assignments; progress reports, and performance evaluations; CV's and resumes for Residents. This RSIN does not contain personnel records of enduring value as defined by the Texas State Library which are maintained in the PeopleSoft Human Capital Management system (HCM).	AC	10			AC = After Termination.		This RSIN does not contain training records from the Residency Program. SEE ALSO the section titled, "Supplemental Notes – Employee Personnel Records" in the UTHHealth Records Retention Schedule. SEE ALSO RSIN 3.3.011. This RSIN addresses the minimum information needed to verify employment, name, social security number, exact dates of employment, last known address and most recent public access option form.	



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					Years	Months	Days				
744.9.080		Individual Personnel Records - Student	This records series typically includes, but is not limited to: Department created and managed personnel records; job descriptions, work assignments; progress reports, and performance evaluations; CV's and resumes for Students. This RSIN does not contain personnel records of enduring value as defined by the Texas State Library which are maintained in the PeopleSoft Human Capital Management system (HCM).	AC	10			AC = After Graduation Or Date Of Last Attendance.		SEE ALSO the section titled, "Supplemental Notes – Employee Personnel Records" in the UTHealth Records Retention Schedule. SEE ALSO RSIN 3.3.011. This RSIN addresses the minimum information needed to verify employment, name, social security number, exact dates of employment, last known address and most recent public access option form.	
744.9.081		Laboratory Notebooks		PM							
744.9.082		Licenses / Registrations		PM							
744.9.083		Licensure Records		AC	5			AC = After Termination.			21 CFR 1304.04(a); Health and Safety Code, Section 481.0679 (c); 37 TAC 13.207.
744.9.084		Medicine Profiles			5						



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744.9.085		Notification Of Awards And Scholarships		AC	5			AC = After End of Affected Semester.			
744.9.086		Peer Review	This records series typically includes, but is not limited to: records relating to the external or internal review of a school, program, department or individual, conducted by a group of its peers, individuals involved in the same field; scope of review; clarification of collection and use of information; reports; comment letters; meeting minutes and agendas; and supporting documentation for agenda items; attendance rosters; final reports; action plans; rebuttal documents and related records.	AC	5			AC = After Completion.			
744.9.087		Physical Plant Maintenance Records - Inside Contractor			5						
744.9.088		Physical Plant Maintenance Records - Outside Contractor			7						



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744.9.089		Physicians' Orders		AC	10			AC = After Date of last visit.		Typically included with the Patient Record. EXCEPTION 2: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. This Rule applies to everyone at the UT Health Science Center at Houston.	
744.9.090		Plant Funds / Capital Construction Funding		PM							
744.9.091		Police Offense Reports		PM							20 U.S.C. 1092(f).
744.9.092		Research - Interviews / Surveys / Consent and Assent Documents / Source Data	This records series typically includes, but it is not limited to: Consent / Assent forms used for behavioral health interviews / surveys, demographic information and behavioral questions, observations, and medical procedures that are considered low-risk (e.g.: height and weight measurements).	AC	10			AC = After Complete or Interview.		EXCEPTION 3: This Agency Item Number (AIN) is limited to the School of Public Health. Check with Records Management for additional information regarding the use of this AIN.	



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744.9.093		Research - Outcome Evaluations		PM							
744.9.094		Research - Statistical / Software Development		PM							
744.9.095		Research, Medical - Final Report or Summary of Data		PM							
744.9.096		School Catalogs		PM					I		
744.9.097		Social Services / Social Work	This records series typically includes, but is not limited to: Records which document interaction with Social Services, such as the referral of a client to Medicare or the WIC program.	AC	10			AC = After Determination of Claim.			



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744.9.098		Special Projects		FE	7					EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	



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744.9.099		Sponsored Grants and Contracts	This records series typically includes, but is not limited to: Sponsored grants and contracts that have been awarded; award letters; notice; proposals; protocols, correspondence, original and most recent equipment inventory; effort reporting; and the final report.	AC	10			AC = After Expiration of Grant.		CAUTION: Grants may have individual guidelines for retention and ownership of records. Records must be retained in accordance with individual guidelines of grant or contract.	Unless specified for a longer retention period, grant records should comply with the Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments - The Common Rule - as stated in OMB Circular A-110.



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744.9.100		Student Academic Record	This records series typically includes, but is not limited to those records created / received after the time an applicant becomes a student and begins class: transcript requests; course grades; academic action authorizations; drop /add course changes, credit/no credit (audit) approval, pass/fail request, transfer credit evaluation; personal /directory information; graduation authorization; degree audit; curriculum change authorization.	PM						SEE ALSO the section titled, "Supplemental Notes – Student Records" in the UTHealth Records Retention Schedule. EXCEPTION 1: This Agency Item Number (AIN) is an Exception to the Texas State Library Minimum Retention Period. Use of this Rule is limited to specific departments which require a longer retention time frame. Check with Records Management for approval to use this AIN.	
744.9.101		Student Evaluations / Comment Cards		AC	5			AC = After End Of Affected Semester.			
744.9.102		Student Insurance Waivers		AC	5			AC = After End Of Affected Semester.			



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744.9.103		Student Records – School / Program / Departmental	This records series typically includes, but is not limited to those records created / received after the time an applicant becomes a student and begins classes; advising notes; student schedule; grades; attendance; graduation application and correspondence.	AC	5			AC = After Graduation Or Date Of Last Attendance.		SEE ALSO the section titled, "Supplemental Notes – Student Records" in the UTHealth Records Retention Schedule.	
744.9.104		Substance Abuse Records		AC	10			AC = After Close.			
744.9.105		Test Questions And Examinations		AC	5			AC = After End Of Affected Semester.			
744.9.106		Volunteer / Community Service	This records series typically includes, but is not limited to: those records which document the term, type, and quality of service provided by an individual volunteer and the registration information about that person; experience, skills and preferences used to assess suitability for a role; monitoring information; references, and any supervision notes.	AC	5			AC = After Close.			



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744.9.107		Waste Disposal Records and Manifests		PM							