



July 16, 2015

Ms. Elizabeth Anne Comeaux
Assistant Library Director for Special Collections
UT HSC at San Antonio
Briscoe Library
7703 Floyd Curl Dr
San Antonio, TX 78229-3900

State and Local
Records Management

Re: Agency records retention schedule amendment approved for use

Dear Ms. Comeaux:

P.O. Box 12927
Austin, Texas
78711.2927

Amendment 2 to your agency's 7th recertification of your records retention schedule is approved for use as of Friday, July 10, 2015. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

4400 Shoal Creek Blvd.
Austin, Texas
78756

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

www.tsl.texas.gov

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

Commission Chairman
Michael C. Waters

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

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

Sincerely,

Director and Librarian
Mark Smith

Craig Kelso
Director and State Records Administrator

Assistant State Librarian
Edward Seidenberg

cc: State Auditor, State Archivist, William L. Henrich

*Preserving yesterday,
informing today,
inspiring tomorrow.*

R01.745/745



Texas State Library and Archives Commission

STATE OF TEXAS Records Retention Schedule Certification

SLR 105C

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

Section 1. Agency Information *(Submitting agencies complete this section only)*

Agency Code 745
University of Texas Health Science Center at San Antonio
Agency Name Antonio

- (Check one)*
- Initial Certification - Form SLR 105
 - Recertification - Form SLR 105
 - Amendment - Form SLR 122

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

- (Check one)*
- Agency Head
 - Records Management Officer

Signature Elizabeth Anne Comeaux
Name *(Print or type)* Elizabeth Anne Comeaux
Date 06/25/2015

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

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

Signature _____
Name *(Print or type)* _____
Date _____

Not Required at This Time

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

Signature Elizabeth
Name *(Print or type)* _____
Date 07-10-15

Cert/Recert No. 7 Amendment No. 2

CAUTION

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

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





STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 1 of 6

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Page No.	Agency Item No.	
1.1	206 LE, DN, DE	Affiliation Agreements.	AC+4		AC+4	AC = Termination of agreement. CAUTION: Departments should check with their accrediting agency to determine retention requirements for accreditation.		27	206 LE, DN, DE	C

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



STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

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1. Page 2 of 6

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1.1	713 UTM	Credentialing Documents for UT Medicine Practitioners. Documents used in the UT Medicine Credentialing process that comply with National Commission on Quality Assurance (NCQA) guidelines and requirements of contracted health plans and state and federal agencies. Includes, but is not limited to credentialing applications and audit results.	AC		AC	AC = Per requirements from the Centers for Medicare & Medicaid Services (CMS): The longer of (i) ten (10) years from the termination of the contracted entity's agreement with the university regardless of the reason for termination; (ii) the completion of any audit; or (iii) such other time frame as provided or required by Laws, HHS, or the Comptroller General. Some information may be exempt from public disclosure.					N
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Records Retention Schedule Amendment

SLR 122

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3.4.007	105 DE	Time Off and/or Sick Leave Requests. This records series may include, but is not limited to, Leave Request Forms, Electronic Time Adjustment Approval Requests and other supporting documentation.	FE+3		FE+3	Includes requests for outside education during working hours. SEE ALSO 3.4 - Agency Item Number 477 for FMLA (Family Medical Leave Act) records. Resident/Fellow leave documents fall under Agency Item Number 527 (American Graduates) or Agency Item Number 699 (International Medical Graduates).		126	105 DE	C
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Records Retention Schedule Amendment

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4.5.002	32 AC, DE	Internal Fiscal Management Reports. Includes university monthly budget reports.	FE+3		FE+3	Accounting is responsible for the record copy of monthly ledgers sent to each department. Departments may produce their own internal fiscal management reports and are responsible for keeping the record copy of those. SEE 4.7.008 - Agency Item Number 388 for fiscal records for federal grants.		138	32 AC, DE	C
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Records Retention Schedule Amendment

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4.7	344 CDO, DE	Gift Records - Agreements, Wills, and Related Documents. This series documents potential or realized private, corporate, or public agency funding to the institution, including endowments and trusts. This series includes letters and agreements of gift, copies of bequest instruments and wills from individuals or estates, and related documentation and correspondence.	PM		PM	I	Security is open with restrictions. SEE ALSO record 4.7 # 711 - Gift Records - All Other Records and record 9.1 # 652 - Scholarship Reports.		148	344 CDO, DE	C
4.7	711 CDO, DE	Gift Records – All Other Records. This series documents potential or realized private, corporate, or public agency funding to the institution, including endowments and trusts. This series may include but is not limited to award guidelines; financial statements and reports, including records of fund disbursements; and related documentation and correspondence.	7		7	O	Security is open with restrictions. SEE ALSO 4.7 # 344 Gift Records - Agreements, Wills, and Related Documents and # 652 - Scholarship Reports for records kept permanently.		151	711 CDO, DE	C

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Records Retention Schedule Amendment

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	410 DE	Student Rotations Documents. Includes schedules, information packets, tests, evaluations, applications (for foreign and visiting US students).	AC+5		AC+5	AC = graduation from UTHSCSA or for non-UTHSCSA students, end of rotation. These records may be filed as part of the student individual personnel file. (SEE # 544 under Student Records.) NOTE: Registrar permanently keeps evaluations and grade sheets for UTHSCSA students taking rotations as coursework. Departments should send narrative evaluations to them. SEE records 665 and 674 under Student Records.		275	410 DE	C
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June 23, 2014

Ms. Elizabeth Anne Comeaux
Assistant Library Director for Special Collections
UT HSC at San Antonio
Briscoe Library
7703 Floyd Curl Dr
San Antonio, TX 78229-3900

State and Local
Records Management

Re: Agency records retention schedule amendment approved for use

Dear Ms. Comeaux:

P.O. Box 12927
Austin, Texas
78711.2927

Amendment 1 to your agency's 7th Recertification of your records retention schedule is approved for use as of Friday, June 20, 2014. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

4400 Shoal Creek Blvd.
Austin, Texas
78756

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

www.tsl.texas.gov

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

Commission Chairman
Michael C. Waters

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Angela Ossar, at 512-463-6623 or aossar@tsl.texas.gov.

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

Sincerely,

Craig Kelso
Director and State Records Administrator

Director and Librarian
Mark Smith

Assistant State Librarian
Edward Seidenberg

cc: State Auditor, State Archivist, William L. Henrich

*Preserving yesterday,
informing today,
inspiring tomorrow.*

R01.745/745



STATE OF TEXAS

Records Retention Schedule Certification

AD
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 745
University of Texas Health
Science Center at San
Antonio
Agency Name Antonio

(Check one)

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

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

(Check one)

- Agency Head
- Records Management Officer

Signature Elizabeth Anne Comeaux
Name (Print or type) Elizabeth Anne Comeaux
Date 04/09/2014

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office
(For the exclusive use of the State Auditor's Office)
Signature _____
Name (Print or type) _____
Date _____
Not Required at This Time

Texas State Library and Archives Commission
(For the exclusive use of the State Library and Archives Commission)
Signature E. Schickelberg
Name (Print or type) _____
Date 06-20-2014

Cert/Recert No. 7 Amendment No. 1

CAUTION

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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

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1. Page 1 of 33

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio								
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1.1.056	113 EE, HR	ADA (Americans with Disabilities Act) Documentation. Self- evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act.	3		3	28 CFR 35.105(c). EE is responsible for Faculty, Residents, Students, and Post-Doctoral Fellows. HR is responsible for Classified and Administrative & Professional personnel.		12	113 EE, HR	C
1.1	712 LIB	Lost and Found Logs. Records listing personal items left in the library.	AC		AC	AC = 2 weeks after date all entries on log sheet have been either picked up by University Police or placed in Lost & Found Box outside the library.				N

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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

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1. Page 2 of 33

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3.1.002	177 HR, EE	Applications for Employment - Hired. Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC+5		AC+5	AC = Termination of employment. Human Resources Personnel Files contain applications for staff and any other supporting hiring documentation. EE files faculty applications. Beginning 8/1/2003 all applications for HR are electronic.		78	177 HR, EE	C
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STATE OF TEXAS

Records Retention Schedule Amendment

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3.1.011	153 HR	Employee Benefits Records. Information relating to the selection of employees/retirees of life, disability, health, and other types of insurance offered by the University of Texas System Office of Employee Benefits to its employees.	AC+5/ 50		AC+5/ 50	AC = Until termination of employment or retirement. Records for retired employees kept 50 years, all others for 5 years. NOTE: Superseded records kept as long as file is kept. CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.		79	153 HR	C
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3.1.012	179 HR, EE	Employment Opportunity Announcements. Internal or external announcements or advertisements of job openings.	3		3	29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities]. Human Resources files documents pertaining to staff. EE files documents pertaining to faculty and Executive Committee. Job openings available via UTHSCSA web page with openings posted with Texas Workforce Commission.		80	179 HR, EE	C
3.1.013	155 HR	Employment Contracts. Includes Faculty and Administrative/Professional Memorandums of Appointment.	AC+5		AC+5	AC = Expiration or termination of the contract/ Memorandum of Appointment according to its terms.		80	155 HR	C

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3.1.018	116 EE, HR	Grievance Records - Sexual Harassment.	AC+3		AC+3	AC = Separation of employment of BOTH complainant and respondent. Records must be kept as long as either party is still at UTHSCSA. EE is responsible for records pertaining to Faculty, Residents, Students, and Post-Doctoral Fellows. HR is responsible for Staff and Administrative & Professional personnel records.		84	116 EE, HR	C
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3.1.018	534 EE, HR	Grievance Records - Nondiscrimination & ADA (Americans with Disabilities Act).	AC+3		AC+3	AC = Separation of employment. EE is responsible for records pertaining to Faculty, Residents, Students, and Post-Doctoral Fellows. HR is responsible for Staff and Administrative & Professional personnel records. Visitors may be handled by either EE or HR depending on the visitor type.		84	534 EE, HR	C
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3.1.019	95 DE	Performance Appraisals. Evaluations completed that are used to measure and rate employee performance.	AC+5		AC+5	29 CFR 1620.32(c). AC = Separation of employment. Retention reflects UTHSCSA practice. NOTE: Date of last performance appraisal and performance rating recorded in PeopleSoft. SEE # 681 Resident Physician Evaluations/Procedure Logs – Final under Medical/Dental – Patient Records for final appraisal of resident physicians.		85	95 DE	C
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3.1.021	183 HR, EE, DE	Personnel Disciplinary Action Documentation. Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the State, the University, or the employee work force, and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC+5		AC+5	AC = Termination of employment. Internal Audit will expect the department to maintain this documentation in the event of an audit, rather than the institutional processing office (i.e. HR or EE).		86	183 HR, EE, DE	C
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3.1.022	173 HR, DE	Personnel Information or Action Forms. Forms or similar records used to create or change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment.	AC+5		AC+5	29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities]. Also includes biographical data sheets, employee separation forms, exit/clearance forms, notifications of intent to hire faculty candidates, name change forms, and position audit documentation. Transactions to place a new employee on the budget or change an employee's position are completed in PeopleSoft HCM.		87	173 HR, DE	C
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Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	I – Retain In University Archives	N – New	
AV – Administrative Value	FE – Fiscal Year End	PM – Permanent	O – Review by University Archives	C – Changed	
	LA – Life of Asset	US – Until Superseded		D – Deleted	



STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 10 of 33

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Page No.		Agency Item No.		

						Workflow emails are generated via PeopleSoft HCM and sent to Human Resources. AC=Separation of employment.				
3.1.029	156 HR	Employment Eligibility, Documentation or Verification of. Department of Homeland Security/ U.S. Citizenship and Immigration Services Form I-9.	AC		AC	AC = 1 year after termination of employment or 3 years after hire date, whichever is longer. CAUTION: Agencies should make certain that the Form I-9 for employees who terminate from the university less than 3 years from date of hire are kept for the 3 years retention period. 8 CFR 274a.2(b)(2)(i)(A) and (c)(2).		90	156 HR	C

Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 11 of 33

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Page No.	

3.1.031	151 HR	Employee Benefits - Other than Insurance. University copies of information relating to the selection of available benefit options other than insurance.	AC+5		AC+5	AC = Until superseded or termination of employment. CAUTION: documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.		91	151 HR	C
3.1.038	590 HR	Release of Personal Data Form. Form completed and signed by employee or official or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code 552.024.	US		US	Information is recorded in PeopleSoft. SEE item number 3.3.011 for former employees.		93	590 HR	C

Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)
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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 12 of 33

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Page No.		Agency Item No.		

3.1	81 HR, DE	Individual Personnel File. Comprehensive record of all personnel actions affecting a current or separated classified, hourly, academic, or professional staff employee. May also include licenses, certifications, training certificates, curriculum vitae, and similar documents.	AC+5		AC+5	O	AC = Term of employment. Does not include retired. SEE 3.1 number 82 for Retired Employees. SEE 3.1 number 389 for Faculty, 3.1. number 527 for Residents/Fellows, number 544 under Student Records for Student personnel files. NOTE: Human Resources and Departments maintain personnel files for active employees. Personnel files may mirror an employee's HR file as well as contain unique Departmental Records.		94	81 HR, DE	C
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Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	I – Retain In University Archives	N – New	
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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 13 of 33

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Page No.	

						ARCHIVES NOTE: Biographical/resume information for top administration personnel such as the President and Vice Presidents should be reviewed by the University Archives upon retirement.				
3.1	82 HR	Individual Personnel File - Retired Employee. Comprehensive record of all personnel actions that have affected a Retired Employee - classified, hourly, academic, professional, or faculty.	AC+50		AC+50	AC = Retirement date.		95	82 HR	C

Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)
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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 14 of 33

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Page No.		Agency Item No.		

3.1	386 HR, DE	PeopleSoft Funding & Job Data Change Information. Forms, e-mails or similar records used to make changes involving employees currently on the budget.	2		2	Formerly called Budget Action Sheet (BAS). The PeopleSoft HCM Module is used to make changes involving employees currently on the budget. An email is generated and sent directly to Payroll, HR Records and Departmental mailbox. (UTHSCSA Handbook of Operating Procedures 6.5.1). Medium: submitted and accessed using the automated PeopleSoft system.		100	386 HR, DE	C
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Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End FE – Fiscal Year End LA – Life of Asset	MO – Months PM – Permanent US – Until Superseded	I – Retain In University Archives O – Review by University Archives		N – New C – Changed D – Deleted



STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 15 of 33

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Page No.	

3.1	389 HR, DE	Individual Personnel File - Faculty. A comprehensive record of all personnel actions affecting Faculty employees. May also include licenses, certifications, training certificates, curriculum vitae, anything of value in responding to requests for credentialing or verification. Includes both academic and clinical faculty.	AC+5, AV		AC+5, AV	O	AC = Term of employment. All documents should be kept for 5 years after separation from UTHSCSA. Expired licenses should be kept for 5 years after expiration. Documents needed in verification or credentialing may then be kept for as long as necessary. Curriculum Vitae may be stored in the e-CV (electronic CV) database rather than in the personnel file. SEE 3.1 number 527 for personnel records for residents and fellows.		101	389 HR, DE	C
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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 16 of 33

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Page No.		Agency Item No.		

							NOTE: Human Resources and Departments maintain personnel files for active faculty. Personnel files may mirror faculty's HR file as well as contain unique Departmental Records. ARCHIVES NOTE: Biographical/resume information should be reviewed by the University Archives upon retirement.				
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Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	I – Retain In University Archives	N – New		
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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 17 of 33

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Page No.		Agency Item No.		

3.1	471 EE, HR	Accommodation Requests under Americans with Disabilities Act (ADA). Includes requests for employees, students participating in the Services to Students with Disabilities (SSD) program, and anyone visiting university facilities.	AC+3		AC+3	For employees, AC = Separation from employment of requestor. For students and visitors, AC = date of last contact. NOTE: Records are confidential and sometimes subject to HIPAA. EE is responsible for Faculty, Residents, Students, Post-Doctoral Fellows, and Visitors. HR is responsible for Staff and Administrative & Professional personnel.		103	471 EE, HR	C
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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 18 of 33

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Page No.	

3.1	528 HR, DE	Employee Appeals of Disciplinary Action or Discharge.	AC+5		AC+5	AC = termination of employment. Discharge may be for any reason, not just as a result of disciplinary action. HR Records are scanned and kept electronically.		106	528 HR, DE	C
3.1	595 HR	Applications by Internal Applicants for Posted Vacancies. The information is used to determine if an employee is qualified to be referred for a possible transfer from one department or area to another. This records series may include, but is not limited to, the transfer request form, employee's skills sheets and personal resume for each position for which the employee applies.	FE+3		FE+3	Records are stored electronically in PeopleAdmin.		106	595 HR	C

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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 19 of 33

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Page No.	

3.1	621 AFS, HR, DE	Appointment, Promotion, and Tenure Records. This series documents the periodic consideration of Faculty who are eligible for promotion in rank and change in tenure status, faculty appointments, and compliance with U.T. System regulations for periodic performance evaluation of tenured faculty. Records may include, but are not limited to, appointment, promotion and tenure proposals submitted by department for review by the Promotion, Tenure and Appointment Committee (PTAC); committee recommendations and approvals; and documentation of post tenure review recommendations. Proposals may include, but are not limited to, Chair's letter of proposal, department or school PTAC committee's letter of recommendation, letters of evaluation and a current curriculum vitae.	AC+5, 1		AC+5, 1	O	AC = Termination of employment. Documents for appointments, promotions, and tenure that are not approved are kept for 1 year. VP for Academic, Faculty & Student Affairs keeps lists of initial appointments, promotion and/or tenure actions, and post tenure and other faculty reviews and copies of review reports. Human Resources keeps documentation in the Individual Personnel File for promotion and tenure and initial faculty appointment packets.		107	621 AFS, HR, DE	C
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Retention Codes (Field 7)				Archival Codes (Field 8)		Amendment Codes (Field 12)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	PM – Permanent	I – Retain In University Archives	N – New		
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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 20 of 33

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Page No.		Agency Item No.		

							Departments and/or Deans keep documentation for faculty reviews. UTHSCSA Handbook of Operating Procedures policy 3.7.5 states all documentation related to the PTEC (Post Tenure Evaluation Committee) review process will be maintained as a confidential file in the department.				
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Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	I – Retain In University Archives	N – New		
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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 21 of 33

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Page No.	

3.1	700 OIS, HR	International Exchange Visitor Records – Labor Certification/PERM.	AC+5		AC+5	AC = Date permanent labor certification application filed with the U.S. Department of Labor. NOTE: The Office of International Services only keeps copies of permanent resident cards for faculty and staff who initially were employed on non-immigrant visas sponsored by the HSC and then subsequently were granted lawful permanent resident status. Human Resources maintains Federal Form I-9 and supporting documentation. 20 CFR Sec. 656.10(f)		109	700 OIS, HR	C
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Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	I – Retain In University Archives	N – New	C – Changed	
AV – Administrative Value	FE – Fiscal Year End	PM – Permanent	O – Review by University Archives	D – Deleted		
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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 22 of 33

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Page No.		Agency Item No.		

3.1	701 OIS	International Scholar Records – Immigrant Petition/Form I-140 sponsored by HSC. Includes internal documents and forms filed with U.S. Citizenship and Immigration Services (USCIS).	AC+5		AC+5	AC = Date granted lawful permanent residence by USCIS or no longer employed by HSC, whichever is earlier. NOTE: Office of International Services only keeps copies of permanent resident cards for faculty and staff who initially were employed on non-immigrant visas sponsored by the HSC and then subsequently were granted lawful permanent resident status. Human Resources maintains Form I-9 and supporting documentation. Retention based on HSC practice for retention of personnel files as there is no CFR section for this item.				
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Retention Codes (Field 7)					Archival Codes (Field 8)		Amendment Codes (Field 12)		
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	PM – Permanent	US – Until Superseded	I – Retain In University Archives	O – Review by University Archives	N – New	C – Changed	D – Deleted
AV – Administrative Value	FE – Fiscal Year End	LA – Life of Asset							



STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 23 of 33

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Page No.	Agency Item No.	
3.1	702 OIS	International Exchange Visitor Records – H-1B Public Inspection File. Includes Labor Condition Application, wage rate documentation, and related materials.	AC+1		AC+1	AC = Date that no individual is employed by the HSC in H-1B nonimmigrant status under the Labor Condition Application for which the Public Inspection File was created. 20 CFR §655.760(c).		110	702 OIS	C

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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 24 of 33

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Page No.		Agency Item No.		

3.1	703 OIS, HR	International Scholar Records – Non-Immigrant Visa (H-1B, H-1B1, O-1, TN, E-3) Petition File. Includes both internal documents and forms submitted to the U.S. Citizenship and Immigration Services (USCIS).	AC+5		AC+5	AC = Date individual no longer employed by HSC in sponsored non-immigrant status. Human Resources maintains Federal Form I-9 and supporting documentation. NOTE: Retention based on HSC practice for retention of personnel files as there is no CFR section for this item.		110	703 OIS, HR	C
								111	705 OIS, HR	D
								111	706 OIS, HR	D

Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
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AV – Administrative Value	FE – Fiscal Year End	PM – Permanent	O – Review by University Archives	D – Deleted		
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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 25 of 33

2. Agency Code		3. Agency Name									
745		The University of Texas Health Science Center at San Antonio									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Page No.		Agency Item No.
3.2.006	171 HR	Wage Rate Tables. Wage/rate tables for employees (salary ranges, positions, etc.) May include survey data compiled for the creation of the pay plan.	2		2		29 CFR 516.6(a)(2). Also called Pay Plan. Wages rates are stored in PeopleSoft HCM. Survey data is stored in MarketPay.		114	171 HR	C
3.3.001	176 HR, EE	Affirmative Action Plans. Affirmative action plans for employees.	5		5		UTHSCSA does not have Affirmative Action plans for apprenticeships or students.		117	176 HR, EE	C
3.3.015	163 HR	Positions/Job Classification Review File. Records relating to review and monitoring of job classifications within the university.	US+3		US+3		Electronic version kept in MarketPay and PeopleSoft HCM.		118	163 HR	C
									121	147 HR	D

Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 26 of 33

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Page No.	

3.3.030	168 HR	Training Administration Records – Other than Instructional Materials. Records associated with in-house training of university personnel on personnel policies and procedures and other policies and procedures that govern the university’s programs, services, or projects.	FE+5		FE+5	Attendance records are kept FE+5 in Knowledge Center database. SEE 3.3.030 # 678 for instructional materials used in training, which are kept US+2. CAUTION: Does not include hazardous materials training records. SEE item number 5.4.007. SEE 3.3.030 # 117 for retention of training records for sexual harassment, ADA, and EEO/AA.		122	168 HR	C
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Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	I – Retain In University Archives	N – New	
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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 27 of 33

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Page No.	

3.3	133 OSP	Time and Effort Report. A record certifying the percentage of time worked on a sponsored project during a particular reporting period.	FE+7		FE+7	Records are kept in electronic format in online Effort Reporting system. Faculty Primary Investigator (PI) completes their effort reports and that of their staff online so departments have no records.		124	133 OSP, DE	C
3.4.001	172 HR, DE	Accumulated Leave Adjustment Requests. Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances on August 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE+3		FE+3	Internal Audit will expect the department to maintain this documentation in the event of an audit, rather than the institutional processing office (i.e., HR). Information on Leave is recorded in the Document Review System (DRS) database.		125	172 HR, DE	C

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



STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 28 of 33

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Page No.	

3.4.002	160 DE	Leave Status Reports. Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE+3		FE+3	Monthly Departmental reports are maintained outside of PeopleSoft. Leave balances are updated monthly in PeopleSoft HCM based on an automated interface from Document Review System (DRS) database.		125	160 DE	C
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Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	I – Retain In University Archives	N – New		
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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

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1. Page 29 of 33

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio									
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			Agency	Storage	Total	9. Remarks	Page No.		Agency Item No.		

5.1.004	319 IMS, HR	Mail and Telecommunications Listings. Any mailing address, telephone or fax number, or e-mail address records maintained by the university on its employees or on entities or persons it serves.	US		US	Electronic version of records for faculty and staff kept in PeopleSoft database and available via UTHSCSA web site. HR is responsible for gathering information for data entry into PeopleSoft. Printed Faculty & Staff Directory produced from this database. Student information available only in online student directory maintained in student information system database (SISPlus).		153	319 IMS	C
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Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	I – Retain In University Archives	N – New		
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	LA – Life of Asset	US – Until Superseded		D – Deleted		



STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 30 of 33

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Page No.	
5.4.012	333 UPO, SNO, IMS, DE	Security Access Records. Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to university facilities, equipment or automated systems. Also includes Access Control Executive (ACE) designation forms for departments and records indicating fulfillment of annual ACE training requirements.	AC+2		AC+2	AC = Until superseded, date of expiration, or date of termination, whichever sooner. SNO handles security for automated systems. NOTE: This is a vital record. Responsible department should check for backup.		179	333 UPO, SNO, IMS	C

Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	I – Retain In University Archives	N – New		
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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 31 of 33

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Page No.		Agency Item No.		

9.1	369 DE	Test Questions and Examinations. Records may include, but are not limited to, examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC+5		AC+5	Remarks: AC = After end of affected semester. Exams may be paper or electronic. Retention recommended as follows: 1) Student scantrons and 1 copy of accompanying test - 5 years, 2) Essays - 5 years, 3) Test with notes (not answers) written on it by student - until end of semester as student may contest test scores. 4) Tests with answers entered by students on test - 5 years, 5) Electronically administered tests (online) - record of each student's answers and 1 list of questions - 5 years.		272	369 DE	C
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Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	I – Retain In University Archives	N – New		
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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 32 of 33

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Page No.		Agency Item No.		

						Master copies of course exams may additionally be kept with the record series Course Content/Syllabi, # 260 in this section.				
9.1	440 DI	Pharm D Student Records. Includes rotations in Pharmacotherapy Education Research Center (PERC), assignments to clinical rotation sites, rotation evaluations.	FE+5		FE+5			275	440 DI	C

Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 33 of 33

2. Agency Code		745		3. Agency Name								The University of Texas Health Science Center at San Antonio							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title						7. Retention Period			8. Archival		10. 106 No.		11. Current Schedule		12. Amend. Type		
								Agency	Storage	Total	9. Remarks				Page No.	Agency Item No.			



July 17, 2013

Ms. Elizabeth Anne Comeaux
Assistant Library Director for Special Collections
UT HSC at San Antonio
Briscoe Library
7703 Floyd Curl Dr
San Antonio, TX 78229-3900

State and Local
Records Management

RE: UT HSC at San Antonio
Retention schedule approved for use

Dear Ms. Comeaux:

P.O. Box 12927
Austin, Texas
78711.2927

Enclosed is a copy of your recertified records retention schedule. Please ensure all old copies of the schedule are superseded with this recertified copy.

4400 Shoal Creek Blvd.
Austin, Texas
78756

Your recertified retention schedule provides you with continuing authorization to dispose of agency records according to its terms. Please note that state regulations (13 TAC §6.8) require documentation of the final disposition of records by your agency. This requirement may be met by maintaining a disposition log or other evidence of the records series titles, dates covered, volume, and date of disposition. We urge on you the importance of disposing of the records of your agency in a timely manner in accordance with the retention periods on your schedule. The destruction of any records of your agency not on your schedule requires special authorization from us.

www.tsl.state.tx.us

During a certification period, state regulations (13 TAC §6.4) also require the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, contact the government information analyst assigned to your agency.

Commission Chairman
Michael C. Waters

Your efforts in maintaining an up-to-date records retention schedule are appreciated. It not only helps to ensure the integrity of your recordkeeping practices, but it is also essential to the success of your records management program. Your schedule will be due for recertification on the last working day of **July 2016**. If you have any questions, call the information analyst assigned to your agency, Angela Ossar, at 512-463-6623.

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

Sincerely,

Craig Kelso
Director and State Records Administrator

Interim
Director and Librarian
Edward Seidenberg

Enclosure
cc: State Auditor, State Archivist
cc: (without enclosure) William L. Henrich

*Preserving yesterday,
informing today,
inspiring tomorrow.*

R01.745/745



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 745
University of Texas Health Science Center at San Antonio

(Check one)

- Initial Certification - Form SLR 105
[X] 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
[X] Records Management Officer

Signature Elizabeth Anne Comeaux

Name (Print or type) Elizabeth Anne Comeaux

Date 2/19/2013

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Signature
Name (Print or type)
Date

Not Required at This Time

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

Signature Donna Osborne
Name (Print or type) Donna Osborne
Date 2/19/13

Cert/Recert No. 7 Amendment No.

CAUTION

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

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



TABLE OF CONTENTS

Section		Page
Category 1: Administrative Records		
1.1	General	1
1.2	Records Management	58
1.3	State Publications	63
Category 2: Electronic Data Processing Records		
2.1	Automated Applications	66
2.2	Computer Operations and Technical Support	72
Category 3: Personnel Records		
3.1	Employee	77
3.2	Payroll	112
3.3	Personnel Administration	117
3.4	Time and Leave	125
Category 4: Fiscal Records		
4.1	Worksheets, Detail Information on Financial Event or Transaction	128
4.2	Documents of Original Entry	131
4.3	Journals or Registers	136
4.4	Ledgers	137
4.5	Reports	138
4.6	Documents Showing Compliance with System of Internal Control	141
4.7	Other Fiscal	142
Category 5: Support Services Records		
5.1	General	152
5.2	Facility Management	160
5.3	Purchasing	172
5.4	Risk Management	175
5.5	Telecommunications	200
5.6	Vehicles	203
Other Types of Records		
	Police Records	205
	Medical Services/Research and Development	220
	Medical/Dental - Patient Records	231
	Patient Billing	257
	Student Records	260
Appendix		
	Explanation of Fields	300
	Explanation of Codes	301
	Explanation of Terms	303
	Supplemental Note - Personnel Records	304
	Supplemental Notes to Student Records Section	305



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 1 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

Administrative Records - General

1.1.002	184 IA	Audits. Audits performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC+7	AC+7		AC = Publication or release of final audit findings. The State Auditor's Office retains any copies of its audits performed on Texas state agencies.
1.1.004	352 CFO	Legislative Appropriation Requests. Including any supporting documentation created and/or used to justify and support legislative appropriations requests by the university.	AC+6	AC+6	I	AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the 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.

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



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 2 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1.006	220 PR, DE	Complaint Records. Complaints received by the university from the public concerning the university and records pertaining to the resolution of the complaint.	AC+2		AC+2	AC = Final disposition of the complaint. CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048 (Litigation Files).		

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105

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1. Page 3 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

1.1.007	73 DE	Correspondence - Administrative. Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of the university and the administrative regulations, policies, and procedures that govern them.	4		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 requirements. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the university's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the period prescribed by item number 1.1.004. A letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.		
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AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives	
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STATE OF TEXAS

Records Retention Schedule

SLR 105

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1. Page 4 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1.008	74 DE	Correspondence - General. Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of the university.	2		2			
1.1.010	218 PR, CFO	Directives. Any document that officially initiates, rescinds, or amends general office procedures.	US+1		US+1			
1.1.011	212 PR	Executive Orders. Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of the university.	US+5		US+5	I		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

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1. Page 5 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1.013	77 DE	Calendars, Appointment, and Itinerary Records. Calendars, appointment books or programs, and scheduling or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries and other activities of university officials or employees.	CE+1		CE+1	O		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105
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1. Page 6 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
1.1.014	211 LE, DE	Legal Opinions and Advice. From university legal counsel or the Attorney General, including any request eliciting the opinions.	AV		AV	O	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048 (Litigation Files).		
1.1.019	345 COM	Public Relations Records. News, press releases, or any public relations files maintained or issued by the university. Includes print, electronic, audio, and audiovisual records.	2		2	O	Records are online since 1/2/97. ARCHIVES NOTE: Records should be sent to University Archives for review prior to disposal. Records of value to the history of the university will be maintained in the University Archives or online on the university's website.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 7 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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			Agency	Storage	Total	9. Remarks		

1.1.020	353 CFO	Public Information Requests - Not Exempted. Includes all correspondence and documentation relating to requests for records that are furnished to the public under the Public Information Act (Chapter 552, Government Code).	AC+1		AC+1	AC = Date request fulfilled.		
1.1.021	354 CFO	Public Information Requests - Exempted. Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code).	AC+2		AC+2	AC = Date of notification that records are exempt.		
1.1.023	192 PR	Organization Charts.	US		US	I		

Retention Codes (Field 7)	Archival Codes (Field 8)
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STATE OF TEXAS

Records Retention Schedule

SLR 105
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1. Page 8 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
1.1.024	193 DE	Plans and Planning Records. Plans and records relating to the process of planning new or redefined programs, services or projects of the university that are not included in or directly related to other records series in this schedule.	AC+3		AC+3	O	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.		
1.1.026	217 PR	Texas Register Submissions. Copies of all proposed, withdrawn, emergency, and adopted rules; open meetings notices; or any other documents required by law to be submitted to the Texas Register.	AC+1		AC+1		AC = Date of publication in the Texas Register.		
1.1.027	395 PR	Proposed Legislation. Drafts of proposed legislation and related correspondence.	AV		AV	O			

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 9 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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			Agency	Storage	Total				
1.1.038	75 DE	Customer Surveys. Surveys returned by the customers or clients of the university, and the statistical data maintained rating the university's performance.	AC		AC	O	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		
1.1.040	101 DE	Speeches, Papers and Presentations. Notes or text of speeches, papers, presentations or reports delivered in conjunction with university work.	AC		AC	O	AC = End of term in office or termination of service in a state position.		
1.1.041	69 DN, DE	Suggestion System Records. Suggestions submitted by university personnel and responses.	1		1				
1.1.043	107 DE	Training Materials. Instructional materials developed by the university for training entities or individuals it regulates or serves.	US+1		US+1				

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
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1. Page 10 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
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			Agency	Storage	Total	9. Remarks		
1.1.048	208 LE	Litigation Files. Records created by or on behalf of the university in anticipation of or in the adjudication of a lawsuit. Also includes formal complaints filed by a university employee with the EEOC.	AC+10, AC+3		AC+10, AC+3	O		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
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1. Page 11 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
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			Agency	Storage	Total	9. Remarks		
1.1.048	209 LE	Medical Liability Claims and Litigation Files. Records related to threatened or asserted medical litigation or investigation. This series may include, but is not limited to, discovery, legal counsel work-products, evidence files, exposure records, exhibits, final judgments, correspondence, financial records, etc.	AC+20		AC+20	O	AC = After Closed. All statutes of limitation must be met before file is closed. ARCHIVES NOTE: Review before disposal; some cases that set legal precedent may merit a review by university archivist for historical reasons.	
1.1.053	214 PR	Registration Logs. Logs or similar records used to register persons appearing before state agencies as required by Chapter 2004. Government Code, including quarterly reports filed with the Texas Ethics Commission.	AC		AC		AC = Report filed with the Texas Ethics Commission.	

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
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1. Page 12 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1.055	196 PR	Strategic Plans. Information resources and operational strategic plans prepared in accordance with 2054.095 and 2056.002, Government Code.	AC+6		AC+6	I		
1.1.056	113 EE, HR	ADA (Americans with Disabilities Act) Documentation. Self- evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act.	3		3			1

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



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 13 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1.057	108 DE	Transitory Information. Records of temporary usefulness that are not an integral part of a records series of the university, that are not regularly filed within the university's record keeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the university or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of university functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; telephone message notifications; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar	AC		AC		AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of the university to make certain they are not part of another records series listed in this schedule, or for records series unique to the university, are not part of a records series that documents the fulfillment of the statutory obligations of the university or the documentation of its functions. The disposal of transitory information need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	

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



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 14 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

routine information used for communication, but not for the documentation, of a specific university transaction.

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 15 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.1.058	90 DE	Meeting Agenda and Minutes. Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.	PM		PM	I	NOTE: University committees fall under 1.1 # 575 - Meeting Agenda and Minutes - Committee, not this record, unless open meetings are required by state law. ARCHIVES NOTE: University retains permanent record copy. CAUTION: This records series and item numbers 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law or the biennial appropriations act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.		
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Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 16 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

1.1.059	213 PR	Meetings, Certified Agendas or Tape Recordings of Closed. Certified agendas or tape recordings of closed meetings of state boards, commissions, committees, and councils.	AC+4		AC+4		AC = The date of the meeting or completion of pending action involving the meeting, whichever is later. Government Code, 551.104(a). SEE caution comment at item number 1.1.058. Board of Regents letter dated 9/3/2002 recommends retention of 4 years.		
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Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value CE – Calendar Year End FE – Fiscal Year End	I – Retain in University Archives O – Review by University Archives LA – Life of Asset MO – Months PM – Permanent US – Until Superseded



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 17 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1.060	91 DE	Meetings, Audio or Videotapes of Open. Audio or videotapes of open meetings of state boards, commissions, committees, and councils.	AC+90 days		AC+90 days	AC = Official approval of written minutes of the meeting by the governing body of the university. CAUTION: Minutes of state agencies are permanent records. Audio and videotapes are not permanent media. State agencies may not retain audio or videotapes of the meetings of governing bodies in lieu of written minutes. The proceedings of all meetings of state boards, committees, commissions, and councils must be reduced to writing. SEE ALSO caution comment at item number 1.1.058.		
1.1.061	88 DE	Meeting - Notes. Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC+90 days		AC+90 days	AC = Approval of the formal minutes by the governing body. SEE caution comment at item number 1.1.058.		

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



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 18 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
1.1.062	89 DE	Meetings - Supporting Documentation. Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.	2		2	I	SEE caution comment at item number 1.1.058.		
1.1.063	102 DE	Staff Meeting Minutes and Notes. Minutes, or notes, and supporting documentation taken at internal university staff meetings during which formal minutes are taken.	1		1				

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 19 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1.064	197 CFO	University Performance Measures Documentation. Any records of the university needed for the documentation of output, outcome, efficiency, and explanatory measures in the university's appropriations request or strategic plan, and for performance measures in the university's appropriations request or strategic plan, and for performance measures used to manage the university.	FE+3		FE+3			
1.1.065	100 DE	Reports and Studies (Non-Fiscal) - Raw Data. Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV		AV			

Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives	
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 20 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1.066	362 AFS, CFO	Reports - Biennial or Annual University (Narrative). Biennial narrative reports to the governor and legislature as required by the university's enabling statutes, including annual narrative reports if they are required by statute.	AC+6		AC+6	I		
1.1.067	219 PR, DE	Reports and Studies (Non-Fiscal). Annual, sub-annual, or special reports or studies on non-fiscal aspects of the university's programs, services, or projects compiled by university personnel, by advisory committees, or by consultants under contract with the university that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3		3	O		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 21 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1.068	194 CFO	Reports on Performance Measures. Quarterly and annual reports on university performance measures submitted to executive and legislative offices.	AC+6		AC+6			
1.1.069	99 DE	Reports - Activity. Reports compiled by university personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.	1		1			CAUTION: SEE item number 1.1.064 (Agency Performance Measures Documentation).
1.1.070	215 PR	Rules and Regulations of the Board of Regents of The University of Texas System. This record series consists of documentation and amendments to the general policies and rules of governance applicable to all components of the entity.	US		US	I		Available via web at http://www.utssystem.edu/bor/rules/homepage.htm . NOTE: The university's copy of this record is a convenience copy only and does not need to be kept for the retention period required for the UT System offices.

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



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 22 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1.070	364 CFO, RA	University Rules, Policies, and Procedures - Final. Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by the university that sets out the rules, policies, and procedures that govern the university's programs, services, or projects.	AC+3, FE+6		AC+3, FE+6	O		
<p>AC = Completion or termination of program, rules, policies or procedures. Settlement with U. S. Office of Inspector General requires a FE+6 retention period for the Medical School Faculty Practice Plan Compliance Manual and the Institutional Compliance Program and Standards of Conduct Booklet. The online version of the UTHSCSA Handbook of Operating Procedures (HOP) is the record copy of that document and is available on the university's web site under the Office of Regulatory Affairs & Compliance web page. Printed copies are kept in several departments. SEE ALSO Agency Rules, Policies and Procedures - Working Files, item number 1.1.071. SEE ALSO 1.1 # 667 for policies of the University Police.</p>								

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



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 23 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1.071	570 CFO, RA	University Rules, Policies, and Procedures - Working Files. Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by the university that sets out the rules, policies, and procedures that govern the university's programs, services, or projects. Documents changes in prior policies and procedures.	AC+3		AC+3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO item number 1.1.070 (University Rules, Policies, and Procedures - Final).	
1.1.072	571 CFO	Public Information Reports. Reports made to the Attorney General on the university's Public Information Act activities.	2		2			

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



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 24 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1.073	572 PR	Administrative Hearings. Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes.	AC+3		AC+3	O	AC = Last action.	
1.1.075	574 LE	Alternative Dispute Resolutions - Final Agreement. Final agreement described by Government Code, 2009.054(c), associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state agency participated as a party on the agency's behalf.	AC+4		AC+4		AC = Date of final agreement. Texas Civil Practice and Remedies Code, Section 154.071.	

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



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 25 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1	189 IC	Institutional Animal Care and Use Committee (IACUC) - Meeting Agenda and Minutes and Notices of Meetings.	4		4			
						Federal regulation mandates 3 years retention (9 CFR Chap 1, Subchapter A, Part 1, Subpart C, Section 2.35(f)). However, letter from Board of Regents dated 9/3/2002 recommends 4 year retention. SEE 1.1 # 575 for records for other university committees.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 26 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1	190 AFS, DN, DE	Accreditation Records. This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+5		US+5	O		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.
 1. Page 27 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

1.1	198 IR	Meeting Agenda, Minutes and Reports of Administrative and Expedited Actions - Institutional Review Board. Includes records of actions taken on all protocols that are still active, e.g. protocol amendments, consent form revisions, changes in investigators, deviations, etc.	AV		AV	CAUTION: Do not dispose of records or reports for protocols that are still active.		
1.1	206 LE, DN, DE	Affiliation Agreements.	AC+4		AC+4	AC = Termination of agreement.		2

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



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 28 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1	207 AC	Deeds and other Legal Documents Reflecting Legal Title. This records series consists of property deeds. The series may include, but is not limited to, appraisals, surveys, descriptions of property, the names of grantors and grantees, mortgagers and mortgagees, and other supporting documents. The series may also document institution ownership of vehicles such as cars, vans, trucks, trailers, boats, tractors, and farm vehicles.	LA		LA			
1.1	210 OST	Patents, Copyrights, and Trademarks - Issued.	AC+7		AC+7		AC = After term of statutory protection or after abandonment. Includes underlying patents, trademarks and copyrights and all supporting documentation. Backup not required as available online through US Patent Office.	

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 29 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1	221 PR, DE	Reports and Studies - Special Activity. This series documents the activities of a university department. Examples may include the completion of surveys and questionnaires, compilation of special studies for professional or academic associations, and special mailings. This series may include, but is not limited to, arrangements documentation, working papers, questionnaires, survey forms, study designs, reports, and related documentation and correspondence.	10		10	O		
1.1	349 CFO	Consent Agenda Support. Documentation submitted to the Board of Regents for approval under the Board's consent agenda.	AC+10		AC+10		AC = Approval of Consent Agenda by Board of Regents.	

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 30 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1	371 CFO	Safe Combination Records.	US		US	HOP Policy 2.7.1 Safes. Combinations to all vaults and safes must be filed under seal with the VP & Chief Financial Officer.		
1.1	390 IC	Applications, Proposals - Institutional Animal Care and Use Committee - Unfunded.	AC+1		AC+1	AC = Date of notification of non-funding.		
1.1	391 IC	Applications, Proposals, Proposed Changes in Care and Use of Animals, and Progress Reports - Institutional Animal Care and Use Committee.	AC+3		AC+3	AC = Close of activity involving animal. Includes animal protocols. E-file is rewritten every year during required annual re-review of protocols. 3 year federal requirement met by meeting minutes for IACUC (Institutional Animal Care and Use Committee). 9 CFR Chap 1, Subchapter A, Part 1, Subpart C, Section 2.35(f).		

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 31 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1	392 IC	Semiannual Reports and Recommendations (including minority views) - Institutional Animal Care and Use Committee.	3		3			
1.1	393 IC	Accrediting Body Determinations - Institutional Animal Care and Use Committee.	3		3			
1.1	394 IC	Assurances Approved by U.S. Dept. of Health and Human Services Public Health Service (PHS) - Institutional Animal Care and Use Committee.	5		5	Document must be renegotiated with PHS every 5 years.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 32 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1	400 DE	Experiments and Tests.	AV		AV	SEE section on Medical/Dental - Patient Records, record on "Medical Research Findings" (Agency Item Number 87) for medical research involving human subjects. SEE record on "Clinical Laboratory Records and Materials" [Agency Item Number 507) for diagnostic tests used in patient care.		
1.1	407 PR, DE	Annual Reports from Foundations or from Other State Agencies.	AV		AV			
1.1	412 RA	Compliance Investigation and Review Supporting Documentation. This records series represents compliance investigations. The series may include, but is not limited to, documentation detailing the alleged compliance violation, investigative findings, reports, and any related documentation.	FE+6		FE+6			

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 33 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1	414 RA	Compliance Investigations Relating to Anonymous Reporting. This records series tracks the reporting activity data items from hotline calls and anonymous, patient and individual reporting.	FE+6		FE+6			
1.1	416 RA	Routine Compliance Reviews / Reports. This records series supports institutional routine compliance reviews and monitoring activities.	FE+6		FE+6			
1.1	417 RA	Compliance Office - Institutional Compliance & Ethics Committee Minutes and Documents.	FE+6		FE+6	Settlement with US Office of Inspector General requires FE+6 retention period.		
1.1	435 DN	Faculty Council Minutes.	AC+5		AC+5	AC = after completion and distribution of minutes.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 34 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1	437 DI	Pharmacy and Therapeutics Committee Drug Monographs.	PM		PM	Reports written in response to requests from University Hospital Pharmacy and Therapeutics Committee.		
1.1	438 DI	Drug Information Services Inquiry Forms.	CE+5		CE+5	Database kept on computer in DIS (Drug Information Service) office. Paper forms filed in DIS administrative office.		
1.1	439 DI	Drug Information Service - Drug Reaction Evaluation and Reporting Forms. Includes Adverse Drug Reaction Reporting Form, Navanjo ADR Probability Scale, Request for Medical Records, MedWatch reports to FDA.	CE+5		CE+5			

Retention Codes (Field 7)	Archival Codes (Field 8)
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 35 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1	441 DI	Texas Department of State Health Services (DSHS) and Texas Health and Human Services Commission (HHSC) Contracts.	AC+5		AC+5	AC = Expiration or termination of the instrument according to its terms.		
1.1	442 DI	Drug Information Service Question Log Sheets.	CE+5		CE+5			
1.1	443 RE	University Research Council Minutes.	6		6	Formerly was the Executive Research Committee. Minutes for Executive Research Committee should also be kept for 6 years.		
1.1	447 AFS	Faculty Senate Minutes, Reports, etc.	3		3			

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 36 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

1.1	454 LIB	Library Materials Control Records.	US		US		Includes electronic journal records, journal subscription information, journal cancellation records, order backups for electronic resources, catalog bibliographic records, reserve material records, purchase request forms, Innovative Fiscal Year Closure Report, Loansome Doc subscriber file, and other similar types of records.		
1.1	457 DE	Memberships/Affiliations - Professional Organizations. Consists of various information from professional organizations to which an employee or student may belong and records for work done for these organizations.		AV		AV			

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 37 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1	458 LIB	Interlibrary Loan Borrowing Records.	CE+5		CE+5			
						Includes databases of borrowing requests and QuickDoc, ILLIAD or other borrowing records systems. Copyright laws require 5 year retention. NOTE: ILL Lending records fall under 4.4.002 # 46 - Accounts Receivable Ledgers.		
1.1	459 LIB	Library Patron Records.	AC		AC			
						AC = 1) Separation from university for all UTHSCSA faculty, staff, and students; 2) August 31 of each year for CORAL and TexShare borrowers; 3) Annually from date of registration for all Affiliates, Area Health Professionals, Military, and Courtesy borrowers, but only after all checked out items and/or fines have been cleared. Includes database registration records such as OVID personal accounts.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 38 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1	460 RE	Inquiries or Investigations of Allegations of Misconduct or Research Misconduct. Includes written reports and all statements, data, or other evidence considered during the inquiry. Also includes minutes of Conflict of Interest Committee.	AC+7		AC+7	AC = Completion of the case or if the Office of Research Integrity (ORI) has advised the institution in writing that it no longer needs to retain the records. For committee minutes, AC = date of committee meeting. Documentation shall be provided to the authorized sponsoring agency upon request. UTHSCSA Handbook of Operating Procedures policy 7.6.1.		
1.1	461 DE, CFO	Requests for Approval of Outside Employment, Consultation, or Related Activities.	AC+2		AC+2	AC = Termination of employee involvement in employment, consultation, or activity.		
1.1	473 DN, CFO	Requests for Approval of Dual Positions of Honor, Trust, or Profit.	AC+2		AC+2	AC = Termination of employee involvement in dual positions.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 39 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1	481 PR, DE	Requests for Alcoholic Beverages on Campus.	FE+2		FE+2			
1.1	482 PU	Reports of State Agency Travel to Washington D.C., Office of State-Federal Relations (OSFR).	FE+3		FE+3			

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 40 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.1	489 DE	Accreditation Records - Residency Programs. Includes correspondence to and from accrediting agency, Program Information Form (PIF) for each site visit, program requirements by year, internal reviews by GMEC (Graduate Medical Education Committee) and correspondence by GMEC regarding internal reviews, action plans developed to correct citations, correspondence with GMEC regarding action plans, residents' evaluations of rotations, and minutes of annual review of program effectiveness.	PM		PM	The Accreditation Council for Graduate Medical Education (ACGME) maintains a permanent list of citations for each program and carefully reviews programs in that area at each accreditation.		
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 41 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
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1.1	493 DE	Alumni Records. This records series documents the activities of a department's alumni and may also provide alumni offices with information on alumni. Records may be used to: create a network of support from alumni, primarily through organized alumni groups; to track alumni; to monitor their achievements, activities, and recognitions; to create statistics; to reply to information requests; and to provide information on the accomplishments of previous students. This series may include, but is not limited to, memberships lists with names, addresses, employer names and addresses, and positions; minutes, and directories; promotional materials concerning annual gatherings; homecoming plans and programs; data cards and files for individual alumni; degree recipient	PM		PM			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 42 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

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.

1.1	494 DE	Volunteer Records. This series documents the activities and administration of an Institution's department or office's volunteer program. Records may include: person of interest forms (POI), volunteer hour statistics; volunteer program publicity records; insurance requirement information; and inactive volunteer files containing applications and conditions of volunteer service forms.	AV		AV	SEE ALSO: record 3.1, # 498 for minors and record 3.1, # 499 for Faculty.		
1.1	495 DN	Curriculum Committee Minutes.	PM		PM			

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 43 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1	497 DE	Minutes of Physical Therapy Department Meetings.	10		10	Commission on Accreditation for Physical Therapy Education (CAPTE) requires 10 years for retention of departmental meeting minutes.		
1.1	500 DE	Service on Outside Boards - Requests for Approval.	US+1		US+1	HOP (Handbook of Operating Procedures) policy 2.4.8.		
1.1	521 DE	Release Forms. Forms used in the production of non-copyrighted materials by UTHSCSA. Includes talent release forms and other personal release forms as well as forms obtaining permission for use of copyrighted materials not owned by the university.	US+20		US+20	SEE ALSO: Consent for Photography, number 512.under section on Medical/Dental - Patient Records. SEE record 1.1 number 210 (Patents, Copyrights and Trademarks) for records providing documentation supporting copyrights granted to the university.		
1.1	525 AC, PU	Vendor Setup Forms. Records providing vendor profile information.	US		US			

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 44 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1	530 DN, DE	Continuing Medical Education (CME), Continuing Dental Education (CDE), Continuing Nursing Education (CNE) Records Other than Fiscal or Attendance. CME activities related documents (not fiscal or attendance).	6		6			
1.1	543 IR	Institutional Review Board (IRB) Member and Alternate CV's.	3		3			

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 45 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
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1.1	546 ISA, DE, CL	HIPAA (Health Insurance Portability and Accountability Act of 1996) Security Rule Implementation Documentation.	FE+6		FE+6	HIPAA Security Rule requires the retention of the documentation addressing the entity's implementation of the Security Rule standards, as well as the required and addressable implementation specifications protecting electronic protected health information (ePHI.)		
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Departmental Note: Departments must maintain documentation of Security Rule implementation of controls specific to departmentally owned and decentralized resources managing ePHI. Documentation should include departmental security policies and procedures addressing implementation of Information Security & Assurance's security program requirements.

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 46 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
1.1	547 PU	Reports from Travel Vendors.	FE+3		FE+3	Reports of air, car, and hotel reservations. Reports should remain in the vendor's format and not combined with any other reports (i.e., queries, reconciliations, departmental sheets).		
1.1	551 DE	Medical Liability Insurance Certificates. Records providing proof for employee of malpractice insurance coverage.	AC		AC	AC = Separation or retirement date from UTHSCSA or new certificates received.		
1.1	552 OSP	Material Transfer Agreements (MTA's).	AC+20		AC+20	AC = Date the material transfer agreement was signed. Retention based on legal opinion from UTHSCSA Office of Legal Affairs.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 47 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

1.1	562 OST	Invention Disclosures. Includes Invention Report Forms and/or any other related documents used to disclose an invention, as well as any affiliated agreements with related correspondence and financial documentation, and any affiliated federal regulation compliance records.	AC+7		AC+7	I	AC = After commercialization efforts for the invention disclosed have been concluded, or rights to the invention have been released to the inventor/s and all outstanding obligations under the release have been satisfied, or invention has been declared uncommercializable or otherwise unsuitable for continued processing. Mandatory backup of documents at off-site location.		
1.1	563 OST	Patent Applications Not Issued.	AC+7		AC+7		AC = Date of last office action or related correspondence in file. These patent applications remain confidential unless published by the US Patent Office or an international patent office.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 48 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
1.1	564 HR	Bayh-Dole Employment Agreements.	AC		AC			
1.1	565 OST	Inventions – Other Agreements. Includes all other agreements not associated with a specific Invention Report Form, Patent, Trademark or Copyright, along with related correspondence and financial documentation.	AC+7		AC+7	I		
1.1	569 PR	President's Meeting/Appointment Registry.	AC+1		AC+1			

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 49 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
1.1	575 DE	Meeting Agenda and Minutes - Committee. A record of actions and transactions taken by university committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, bylaws, etc.	6		6	O		
1.1	576 DE	Photographs and Negatives - Historically Significant. Documents the collection of photographs or negatives created by or for a component. Includes events that document the component's organization, special ceremonies, occasions, events and facilities.	AV		AV	I		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 50 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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1.1	577 DE	Events Administration Records. This series documents facilities, services and other accommodations provided by the institution for events both on and off campus. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; customer evaluations; summary reports; financial and billing records (invoices, purchase orders, etc.); and related correspondence.	AC, FE+3		AC, FE+3	AC = After completion of the event. If financial and billing records are included, AC = FE+3. Caution: If expenses are paid by a grant, keep as long as grant financial records are kept. (SEE 4.7 # 505 non-federal grants and 4.7.008 # 388 federal grants.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 51 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

1.1	578 DE	Academic Departmental Reviews. A record of periodic departmental self-evaluation and assessment by an external site visit team to determine departmental strengths and weaknesses. The records series may or may not include the following: self-study report, final report of site-visit team, review schedule, five-year plan, etc.	US+2		US+2	US = Next review completed, but keep no less than 6 years. SEE 1.1 #190 for records related to Accreditation.		
1.1	579 DE	Committee Election and Appointment Records. This series documents the appointment to and the election of faculty to committees. This series may include, but is not limited to, ballots, tabulations, letters of appointment, committee membership rosters, and related documentation and correspondence.	AV		AV			

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 52 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1	580 DE	Films, Videotapes, and Sound Recordings. This series provides visual and/or aural documentation of institutional activities and events including students, faculty, and staff with significant relevance to either the institution's or individual unit's function and mission.	AV		AV	O		
1.1	581 RA	Compliance Opinions and Advice. This records series may include compliance opinions provided by the Office of Regulatory Affairs and Compliance and legal opinions received from internal or external legal counsel, including any request eliciting the opinions.	AV		AV			
1.1	582 DE	Subpoenas. Legal document requiring recipient to appear in court to testify, or to produce records to be used in litigation.	FE+3		FE+3		Some information may be exempt from public disclosure.	

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 53 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.1 583 DE Alumni Association Board Records. PM PM I

This series documents the activities of the Alumni Association Board of Directors or Board of Trustees. The board is responsible for promoting the interests and ideals of the institution; stimulating and encouraging school pride in students, graduates, and former students; and developing a sense of responsibility for continued progress in educational programs for the institution. This series may include, but is not limited to, agendas; minutes; reports; notes; working papers; and related documentation and correspondence.

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 54 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1	593 RA	Compliance Training / Tracking Records. This records series documents annual general compliance and Health Information Portability and Accountability Act, Clinical Documentation Training Sessions and General Compliance Awareness Training, training requirements and completion of training for all institutional employees.	FE+6		FE+6		Some information may be exempt from public disclosure.	

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 55 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1	667 UPO	University Rules, Policies, and Procedures - Final - University Police. Includes final copy of manuals, guidelines, administrative rules, code of conduct or similar records distributed internally in the University Police department for the use of employees or externally to the public or those individuals or entities regulated by the university policy that sets out the rules, policies, and procedures that govern the programs, services, or projects of the University Police.	AC+5, PM		AC+5, PM	O		
1.1	679 RA	Compliance Tracking Logs.	AV		AV			

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 56 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1	680 DE	Residency Programs Curriculum Records. Includes, but is not limited to, schedules of conferences, curriculum used in residency programs, attendance sheets for conferences and special programs.	AC+1		AC+1	AC = Program length (i.e. AC = 4 years for a 4 year training program).		
1.1	686 DE	Essays Submitted for Awards. Essays submitted by students or others for the purpose of competing for an award or honor.	AV		AV	O ARCHIVAL NOTE: Essays may be sent to the University Archives for permanent retention. SEE ALSO 1.1 # 344 for financial records for gifts paying for award and # 650 and # 652 under Student Records for scholarship applications and administrative records.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 57 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.1	689 DE	Business Associate Agreement (HIPAA).	AC+4		AC+4			
						AC = Termination of agreement. Only agreements accompanying purchase orders are imaged and kept in the centralized institutional document imaging system managed by Purchasing. It is the responsibility of departments to keep the original agreement.		
1.1	697 OST	Institutional Intellectual Property Assessment Committee Meeting Minutes.	PM		PM	I		
1.1	698 IMI	Emergency Alert Systems Records. Includes, but is not limited to, sign up records, requests to not participate, test logs, feedback on tests.	3		3		3 year retention recommended by UT System.	

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 58 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

Administrative Records - Records Management

1.2.001	347 MM	Destruction Authorizations. University level documents authorizing final disposition of records under a certified records retention schedule.	10	10	Retention reflects UTHSCSA practice. Warehouse keeps database of all boxes destroyed as well as forms authorizing destruction. SEE 1.2.010 # 357 for Records Disposition Logs held by Library.
1.2.003	350 DE	Forms History File. Print masters of original version and all subsequent revisions to an university form, including any associated design or design modification requests.	AC+1	AC+1	AC = Discontinuance of use of form. Each department should keep its own forms history file as this is no longer done by a central department.
1.2.004	351 DE	Forms Inventory. Any periodic listing of all forms used internally or externally by the university.	US	US	Each department should keep its own forms inventory as this is no longer done by a central department.

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



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 59 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.2.005	360 LIB	Records Retention Schedule (SLR 105). University copy. Formerly RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C) and/or other forms designated by the State Records Administrator.	US		US		Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission. University maintains both a paper copy and an internet version of the schedule.	
1.2.006	361 DE, MM, LIB	Records Transmittal Forms. University copy (includes RMD 101, Tx-R-5, 306-58-1, and Agency Storage Forms). Forms indicate records transferred to storage or a transfer of legal custody.	AC+2, AC, PM		AC+2, AC, PM		For departments, retention = AC+2 where AC = Date of authorization for destruction, permanent transfer from storage, or transfer to University Archives. For Materials Management, retention is AC where AC = as long as box is in storage for paper form, PM for warehouse database record. The Library keeps records of transfers to the University Archives permanently.	

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 60 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.2.008	363 LIB	Request for Authority to Dispose of State Records (RMD 102). University copy.	FE+3		FE+3	Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.		
1.2.010	357 LIB	Records Disposition Logs. Logs or similar records listing records destroyed or transferred to the University Archives, showing records series title, dates of records, and date destroyed or transferred.	10		10	Departments should send original or digital copy of signed disposition logs to Records Management Officer.		
1.2.011	355 LIB	Records Center Storage Approval Forms (RMD 106). University copy.	US		US			
1.2.012	358 LIB, DE	Records Inventory Worksheets.	US		US	Departments should send Records Management Officer a copy of most up-to-date records inventory.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 61 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
1.2.013	356 LIB	Records Control Locator Aids. Includes indexes, card files, shelf lists, registers, guides, etc.	AC		AC	AC = When control aid is updated, revised, or no longer needed. CAUTION: These records must carry the same retention period and archival code of the records they support.		
1.2.014	359 LIB, DE	Records Management Plans. Records management plans and similar records that establish the policies and procedures under which records and information are managed in the university.	US+1		US+1			
1.2.015	348 LIB	Disaster Recovery Service Transmittals (RMD 109). Also includes documentation for disaster recovery services provided by other entities.	FE+1		FE+1			

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 62 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.2.016	584 LIB	Disaster Recovery Service Approval Form (RMD 113). Agency copy of form.	AC		AC	AC = Until superseded or termination of service.		
1.2	585 MM	Records Retrieval Requests. Requests by UTHSCSA offices for retrieval of boxes/files stored at the Warehouse or in off-campus commercial storage facilities.	2		2	NOTE: Warehouse notes storage closed and box/files returned to department. Must submit new storage request to restore.		
1.2	710 LIB	Records Reviews. Documentation of meetings with university departments or divisions to determine compliance with university records management program.	US		US			

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 63 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

Administrative Records - State Publications

Retention Codes (Field 7)				Archival Codes (Field 8)			
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AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded				



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 64 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.3.001	216 DE	State Publications. One copy of each state publication as defined on page 304 of the Appendix of this schedule, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003, which also meet the definition, are closely associated with the appropriations process and must be retained AC+6.	AC+2		AC+2	AC = Until superseded or obsolete. CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101-441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13TAC 3.1-3.16).		

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 65 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

NOTE ON WEB SITE RETENTION:
web server administrators should make a back-up copy every six months of the root directory of any public web site, and save it for 2 years. The archive may be compressed and held on another server or another repository.

1.3.002	97 DE	Publication Development Files. Background material copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the university.	AV	AV	O
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Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 66 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

Electronic Data Processing Records - Automated Applications

2.1.001	63 SNO, IMI, DE	Processing Files. Machine-readable files used in the creation, utilization, and updating of master files.	AC	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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Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value	I – Retain in University Archives O – Review by University Archives
CE – Calendar Year End FE – Fiscal Year End <input type="checkbox"/>	PM – Permanent US – Until Superseded
LA – Life of Asset MO – Months	



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 67 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
2.1.002	61 DE	Master Files. Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC		AC			

Retention Codes (Field 7)				Archival Codes (Field 8)	
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 68 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
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			Agency	Storage	Total	9. Remarks		
2.1.007	65 DE	Software Programs. Automated software applications and operating system files including job control language, program listing/source code, etc.	AC		AC			
						AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 69 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

2.1.008	60 SNO, DE	Hardware Documentation. Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC		AC		AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		
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Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value	I – Retain in University Archives O – Review by University Archives
CE – Calendar Year End FE – Fiscal Year End <input type="checkbox"/>	PM – Permanent US – Until Superseded
LA – Life of Asset MO – Months	



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 70 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
2.1.009	67 DE	Technical Documentation. Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other	AC		AC	AC = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 71 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.

2.1.010	55 SNO, IMI, DE	Audit Trail Records. Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC	AC	AC = All audit requirements have been met.
2.1.011	59 SNO, IMI, DE	Finding Aids, Indexes, and Tracking Systems. Automated indexes, lists, registers, and other finding aids used to provide access to records.	AC	AC	AC = The related records have been destroyed. CAUTION: These records must carry the same retention period and archival code of the records they support.
2.1	531 SNO	Backup Tapes for Central E-mail Servers.	2 weeks	2 weeks	

Retention Codes (Field 7)	Archival Codes (Field 8)
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.
 1. Page 72 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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Electronic Data Processing Records - Computer Operations and Technical Support

2.2.001	66 SNO	System Monitoring Records. Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.	AV	AV
2.2.002	56 SNO, IMI, IMS	Chargeback Records to Data Processing Services Users. Records used to document, calculate costs and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.	FE+3	FE+3
2.2.004	57 SNO	Computer Job Schedules and Reports. Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.	3 Months	3 Months

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 73 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
2.2.010	58 SNO, IMS	Data Processing Policies and Procedures. Manuals, guidelines, or similar documents establishing data processing policies and procedures in the university in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.	US+3		US+3	CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number 2.1.009 (Technical Documentation).		
2.2.011	586 SNO, DE	Batch Data Entry Control Records. Forms and logs used to reconcile batches submitted for processing against batches received and processed.	AC		AC	AC = When reconciliation confirmed.		
2.2.012	62 SNO, IMI, DE	Output Records for Computer Production. Reports showing transactions that accepted, rejected, suspended, and/or processed.	AV		AV			

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 74 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
2.2.013	64 SNO, IMI, DE	Quality Assurance Records. Information verifying the quality of system, hardware, or software operations including records of errors or failures and the loss of data resulting from such failures, documentation of abnormal termination and of error free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy.	AC		AC	AC = No longer needed as an audit trail for any records modified.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 75 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
2.2.014	587 SNO, DE	Internet Cookies. Data resident on hard drives that make use of user specific information transmitted by the Web server onto the user's computer so that the information might be available for later access by itself or other servers.	AV		AV	The disposal of Internet cookies need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).		
2.2.015	588 DE	History Files - Web Sites. A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generate a record of usage of a state owned computer.	AV		AV	The disposal of history files need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).		

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 76 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
2.2.016	589 DE, PU	Software Registrations, Warranties and License Agreements.	LA+3		LA+3	License agreement is imaged and kept in the centralized institutional document imaging system managed by Purchasing.		
2.2	610 ISA, DE	Information Security Risk Records. Includes, but is not limited to, the Information Security Risk Self-Assessment Survey, supporting documentation, communication and feedback, analysis, and reports.	US+1, AV		US+1, AV	Retention: for Departments, paper copies of the Information Security Risk Survey, documentation, and communications are kept US+1; for ISA, electronic copies of the survey, communications, analysis, and reports may be kept AV - as long as administratively valuable. CAUTION: If the department's completed Survey represents HIPAA implementation documentation, then a six year record retention period is mandated. SEE: 1.1, Agency Item Number # 546.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 77 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

Personnel Records - Employee

3.1.001	178	HR, EE, PR	Applications for Employment - Not Hired. Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	3	3	29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities]. Human Resources keeps documents pertaining to staff. Beginning 8/1/2003 all applications for HR are electronic. EEO/AA files all applications for faculty and Executive Committee with the selection records for successful candidates. SEE 3.1.014. President's Office may keep documents for applications for Executive Committee and department chairs for as long as they are deemed administratively valuable.
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 78 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.1.002	177 HR, EE	Applications for Employment - Hired. Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC+5		AC+5	AC = Termination of employment. Human Resources files applications for staff. EE files faculty applications. Beginning 8/1/2003 all applications for HR are electronic.		1
3.1.006	78 DE	Employee Counseling Records. Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisory level except in those agencies with counseling staff.	AC+3		AC+3	AC = Termination of counseling.		

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



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 79 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.1.011	153 HR	Employee Insurance Records. University copies of information relating to the selection by employees/retirees of life, disability, health, and other types of insurance offered by the U. T. System to its employees.	AC+5/5 0		AC+5/5 0	AC = Until termination of employment or retirement. Records for retired employees kept 50 years, all others for 5 years. NOTE: Superseded records kept as long as file is kept. CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.		1

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 80 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio							
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			
3.1.012	179 HR, EE	Employment Opportunity Announcements. Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.	3		3	29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities]. Human Resources files documents pertaining to staff. EE files documents pertaining to faculty and Executive Committee. Job openings available via UTHSCSA web page with openings posted with Texas Workforce Commission. Includes Personnel Requisition Form (PO-3) for HR (electronic) and Notification of Faculty Vacancy (paper).			1
3.1.013	155 HR	Employment Contracts. Includes faculty and administrative/professional appointment letters.	AC+5		AC+5	AC = Expiration or termination of the contract/appointment letter according to its terms.			1

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 81 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.1.014	180 EE, DE, PR	Employment Selection Records - Faculty and Executive Committee Members. Includes notes of interviews with candidates; questions asked of applicants; audio and videotapes of job interviews; driving record and previous injury checks; pre-employment physical examinations; polygraph examination results; sanction checks; waiver requests; special circumstance requests; selection of candidate forms; cover sheets for faculty appointments; and all other records that document the selection process.	AC+3, 75		AC+3, 75	AC = Recruitment date. EE keeps faculty recruitment reports 75 years. Sanction (Office of Inspector General/General Services Administration (OIG/GSA) Database Check), security, and driving clearances are electronic. Previous injury checks and physical exams are held by departments. All records for Fellows are held by departments with notification to EE. President's office may retain records for applicants for Executive Committee members and department chairs for as long as they are administratively valuable.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 82 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio							
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total	9. Remarks			
3.1.014	504 HR, DE	Employment Selection Records - Staff. Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving record and previous injury checks, pre-employment physical examinations, pre-employment drug screening test results, polygraph examination results, sanction checks, waiver requests, special circumstance requests, selection of candidate forms, cover sheets for staff appointments, and all other records that document the selection process.	AC+5		AC+5		For Human Resources, AC = after separation of employee from UTHSCSA. For departments, AC = after recruitment date. Human Resources keeps waiver requests, selection of candidate forms, and cover sheets. After 8/1/2003 selection of candidate information is electronic. Sanction (Office of Inspector General/General Services Administration (OIG/GSA) Database Check), security, and driving clearances are electronic. Departments keep everything else. NOTE: Retention based on UTHSCSA practice as 29 CFR 1602.31 [State Agencies] and 29 CFR 1602.49(a) [State Universities] only require 2 years. CAUTION: Does not include criminal history checks. SEE item number 3.1.026. Also does not include records for		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 83 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

selection of residents/fellows. SEE item number 3.1 # 408.

3.1.018	110 HR, DE	Grievance Records. Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC+2	AC+2	AC = Final decision on the grievance - CAUTION: Does not include formal complaints filed by the university employee with the Equal Employment Office (EEO) of the U.S. Department of Labor (SEE: 1.1.048 number 208) or sexual harassment complaints (SEE: 3.1.018, number 116). Internal Audit will expect the department to maintain this documentation in the event of an audit, rather than the institutional processing office (i.e., HR or EE). EE only handles non-discrimination cases.
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 84 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.1.018	116 EE, HR	Grievance Records - Sexual Harassment.	AC+3		AC+3	AC = Separation of employment of BOTH complainant and respondent. Records must be kept as long as either party is still at UTHSCSA. EE takes care of faculty, residents, students, and post docs. HR takes care of staff and Administrative & Professional personnel.		1
3.1.018	534 EE, HR	Grievance Records - Nondiscrimination & ADA (Americans with Disabilities Act).	AC+3		AC+3	AC = Separation of employment. EE takes care of faculty, residents, students, and post docs. HR takes care of staff and Administrative & Professional personnel. Visitors may be handled by either department.		1

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 85 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.1.019	95 DE	Performance Appraisals. Evaluations completed that are used to measure and rate employee performance.	AC+5		AC+5	29 CFR 1620.32(c). AC = Separation of employment. Retention reflects UTHSCSA practice. NOTE: Date of last appraisal recorded in PeopleSoft.		1
3.1.020	96 DE	Personnel Corrective Action Documentation. Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	AC+5		AC+5	AC = Termination of employment. CAUTION: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from this series used to support disciplinary action must be retained for the minimum retention period described by item number 3.1.021.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.
 1. Page 86 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

3.1.021	183 HR, EE, DE	Personnel Disciplinary Action Documentation. Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the university, or the employee work force, and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC+5		AC+5	AC = Termination of employment. Internal Audit will expect the department to maintain this documentation in the event of an audit, rather than the institutional processing office (i.e. HR or EE).		1
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 87 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio							
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			
3.1.022	173 HR, DE	Personnel Information or Action Forms. Forms or similar records used to create or change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment.	2		2	29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities]. Also includes biographical data sheets, employee separation forms, exit/clearance forms, notifications of intent to hire faculty candidates, name change forms, and position audit documentation. A PeopleSoft (automated) transaction is used to place a new employee on the budget or to make a change to an employee's position. It is completed and forwarded to Human Resources. (UTHSCSA Handbook of Operating Procedures 4.3.2). Biographical data also recorded in PeopleSoft.			1

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 88 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.1.023	182 HR, EE	Position/Job Descriptions. Job descriptions, including all associated task or skill statements, for positions in the university.	AC+5		AC+5	AC = Until superseded or job eliminated. 40 TAC 815.106(i). UTHSCSA keeps longer than state requirement. Human Resources files non-faculty records; EE files faculty and Executive Committee records. Human Resources records are electronic.		
3.1.024	162 DE	Physical Examinations/Medical Reports. Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.	AC+2		AC+2	AC = Until superseded or termination of employment. CAUTION: Does not include pre-employment physical examinations. SEE: item number 3.1.014. NOTE: Radiation monitoring falls under 5.4 # 428 - Radiation Monitoring and Exposure Records.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 89 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.1.026	322 UPO	Criminal History Checks. Requests for background checks and resulting criminal history record information on job applicants or university employees.	6 mo.		6 mo.	University Police only keeps records for requests from the University Police, Human Resources, or the Office of Business Affairs. UTHSCSA Handbook of Operating Procedures (HOP) 4.4.1 specifies these records must be sealed and not opened or released except by court order. University of Texas System BMP (Business Procedures Memo) # 29 designates retention of 180 days for positions without a probationary period. SEE Subchapter F, Chapter 411, Government Code (411.094 for institutions of higher education).		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 90 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
3.1.027	106 HR, DE	Training and Education Achievement Records (Individual). Certificates of completion, transcripts, test scores or similar records documenting the training, testing or continuing education achievements of an employee.	AC+5		AC+5	AC = Termination of employment. SEE 5.4.007 for requirements on retention of hazardous materials training records.		
3.1.029	156 HR	Employment Eligibility, Documentation or Verification of. Federal reporting form (INS I-9).	AC		AC	AC = 1 year after termination of employment or 3 years after hire date, whichever is longer. CAUTION: Agencies should make certain that the INS I-9 forms for employees who terminate from the university less than 3 years from date of hire are kept for the 3 years retention period. 8 CFR 274a.2(b)(2)(i)(A) and (c)(2).		1

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



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 91 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
3.1.031	151 HR	Employee Benefits - Other than Insurance. University copies of information relating to the selection of available benefit options other than insurance.	AC+2		AC+2	AC = Until superseded or termination of employment. CAUTION: documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.		1
3.1.034	164 HR	Resumes - Unsolicited. Retention period applies if the university replies to the sender of a resume that it will be kept on file should future job openings occur.	AV		AV	SEE item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.		
3.1.035	161 DE	Performance Bonds. Bonds posted by employees and individuals or entities under contract with the university for the performance of the duties of a position or the terms of a contract with the university.	AC+4		AC+4	AC = Expiration or termination of the bond according to its terms. CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 92 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

3.1.036	145 DE	Apprenticeship Records. Summary of applicant qualifications, evaluation basis for selection or rejection, original applications, job assignments, promotions, separations, layoffs, terminations, compensation records, conditions of work, time records, hours of training provided (separate from labor), minority status, and gender of all selected and rejected applicants.	5		5	29 CFR 30.8(e).		
3.1.037	154 HR	Employee Recognition Records. Awards, Incentives, etc.	AC+5		AC+5	AC = Termination of employment. SEE 3.1 # 621 for faculty promotion and tenure records.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 93 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.1.038	590 HR	Public Access Option Form. Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code 552.024.	US		US	Information is kept in PeopleSoft. SEE item number 3.3.011 for former employees.		1
3.1.039	591 DE	Ombudsman Records. Consultation records, notes, letters, memos, emails, reports and other documentation.	AC		AC	AC = Final decision or matter closed. CAUTION: Does not include formal complaint filed with EEO. If matter becomes a grievance or the subject of counseling or litigation, or employee is subject to disciplinary action, the records are subject to retention in the appropriate records series. SEE 1.1.048, 3.1.006, 3.1.018, 3.1.020, and 3.1.021.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 94 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.1	81 HR, DE	Individual Personnel File. Comprehensive record of all personnel actions affecting a current or separated classified, hourly, academic, or professional staff employee. May also include licenses, certifications, training certificates, curriculum vitae, and similar documents.	AC+5		AC+5	O		1

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 95 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.1	82 HR	Individual Personnel File - Retired Employee. Comprehensive record of all personnel actions that have affected a retired employee - classified, hourly, academic, professional, or faculty.	AC+50		AC+50	AC = Retirement date.		1

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 96 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

3.1	372 DE	Drug Test Records - Positive Results. This records series consists of the positive results of a drug test under the Drug Free Workplace Act or as required for CDL or other drivers under US DOT regulations as well as records related to canceled tests. This series might include documents generated in decisions to administer reasonable suspicion or post-accident testing, or in verifying the existence of a medical explanation of the inability of the driver to provide adequate breath or to provide a urine specimen for testing. In addition, the case file could include: the employer's copy of an alcohol test form, including the results of the test; a copy of the controlled substances test chain of custody control form; documents sent by the Medical Review Officer (MRO) to the employer; notice to report for testing;	5		5			
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Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 97 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

affidavit signed by the employee stating any prescription drugs or over the counter medication currently taken; and final clearance to resume working.

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.
 1. Page 98 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

3.1	373 DE	Drug Test Records - Negative Results. This records series consists of the negative results of a drug test under the Drug Free Workplace Act or as required for CDL or other drivers under US DOT regulations as well as records related to canceled tests. This series might include documents generated in decisions to administer reasonable suspicion or post-accident testing, or in verifying the existence of a medical explanation of the inability of the driver to provide adequate breath or to provide a urine specimen for testing. In addition, the case file could include: the employer's copy of an alcohol test form, including the results of the test; a copy of the controlled substances test chain of custody control form; documents sent by the Medical Review Officer (MRO) to the employer; notice to report for testing;	1		1				
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Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value	I – Retain in University Archives O – Review by University Archives
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LA – Life of Asset MO – Months	



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 99 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

affidavit signed by the employee stating any prescription drugs or over the counter medication currently taken; and final clearance to resume working.

3.1	374 DE	Drug Testing - Documentation of Refusals to Take Required Tests. Includes memorandum and correspondence and any other records related to an employee's refusal to take or submit samples for an alcohol and/or controlled substances test(s).	5	5	49 CFR 382.401(b)(1)(iii).
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 100 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

3.1	386 HR, DE	PeopleSoft Funding & Job Data Change Information. Forms, e-mails or similar records used to make changes involving employees currently on the budget.	2		2	Formerly called Budget Action Sheet (BAS). The PeopleSoft HR Module is used to make changes involving employees currently on the budget and is sent directly to Payroll. (UTHSCSA Handbook of Operating Procedures 6.5.1). Medium: submitted and accessed using the automated PeopleSoft system. Verifications sent to departments via e-mail.		1
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Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value	I – Retain in University Archives O – Review by University Archives
CE – Calendar Year End FE – Fiscal Year End <input type="checkbox"/>	PM – Permanent US – Until Superseded
LA – Life of Asset MO – Months	



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 101 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
3.1	389 HR, DE	Individual Personnel File - Faculty. A comprehensive record of all personnel actions affecting faculty employees. May also include licenses, certifications, training certificates, curriculum vitae, anything of value in responding to requests for credentialing or verification. Includes both academic and clinical faculty.	AC+5, AV		AC+5, AV	O		1
						<p>AC = Term of employment. All documents should be kept for 5 years after separation from UTHSCSA. Expired licenses should be kept for 5 years after expiration. Documents needed in verification or credentialing may then be kept for as long as necessary. Curriculum vitae may be stored in the e-CV (electronic CV) database rather than in the personnel file. SEE 3.1 number 527 for personnel records for residents and fellows. NOTE: Both Human Resources and Departments keep personnel files for current faculty which may include some similar but also many different types of records. ARCHIVES NOTE: Biographical/resume information should be reviewed by the University Archives upon retirement.</p>		

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AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 102 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

3.1	408 DE	Residency & Fellowship Applicants Information. Includes, but is not limited to, AAMC Electronic Residency Application Service (ERAS) documents including common application form, photographs, letters of recommendation, USMLE certified transcript scores, Dean's letter, graduate transcripts, personal statements, ECFMG documents for foreign medical graduates, sanction checks, acknowledgement forms, ranking documentation, rank list to the National Resident Matching Program (NRMP), evaluations of candidates.	AC+2	AC+2	AC = End of academic year in which application is made. Records for residencies are downloaded from ERAS and usually kept electronically. 29 CFR 1602.49(a) requires 2 year retention of evaluations.
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Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value	I – Retain in University Archives O – Review by University Archives
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LA – Life of Asset MO – Months	



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 103 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.1	471 EE, HR	Accommodation Requests under Americans with Disabilities Act (ADA). Includes requests for employees, students participating in the Services to Students with Disabilities (SSD) program, and anyone visiting university facilities.	AC+3		AC+3	For employees, AC = Separation from employment of requestor. For students and visitors, AC = date of last contact. NOTE: Records are confidential and sometimes subject to HIPAA. EE takes care of faculty, residents, students, post docs, and visitors. HR takes care of staff and Administrative & Professional personnel.		1
3.1	474 DE	Telecommuting Agreements.	FE+1		FE+1	All telecommuting agreements must be renegotiated at the beginning of each fiscal year (UTHSCSA Handbook of Operating Procedures policy 4.7.10).		
3.1	478 DE	Requests for Work Schedule Changes. Includes requests for flex (flexible, flextime) program schedules.	US		US			

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 104 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

3.1	498 HR	Hazard Assessment Request for Minors in the Workplace.	AC+2		AC+2		AC = date of minor's 18th birthday. Includes records for both employees and volunteers. Section 16.001 of the Texas Civil Practice and Remedies Code provides statute of limitations for claims involving minors for personal injury for 2 years following their 18th birthday.		
3.1	499 DE	Records for Initial Faculty Appointments - Volunteer Faculty.	AV		AV				

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



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 105 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.1	527 HR, DE	Individual Personnel File - Residents/Fellows (selected) - American Medical Graduates. A comprehensive record of all personnel actions affecting residents and fellows. May also include application materials, licenses, certifications, training certificates, training permits, evaluations and performance appraisals, disciplinary records, boards records, clinical experiences, leave records, correspondence re: licensure or boards, anything of value in responding to requests for credentialing or verification.	AC+5, 75		AC+5, 75	AC = End of training or until any dispute involving the resident has been resolved, whichever occurs later. All documents should be kept for 5 years after separation from UTHSCSA. Documents needed in verification or credentialing (such as but not limited to evaluations /procedure logs) should be kept 75 years. SEE #681 under Medical/Dental - Patient Records for Resident Physician Evaluations/Procedure Logs – Final Summative. SEE ALSO 3.1 #699 for records for international medical graduates. NOTE: All records are confidential unless permission is given by trainee. Human Resources only keeps records for Residents /Fellows paid by UTHSCSA.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 106 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
3.1	528 HR, DE	Employee Appeals for Disciplinary Action or Discharge.	AC+5		AC+5	AC = termination of employment. Discharge may be for any reason, not just as a result of disciplinary action. Records are scanned and kept electronically.		1
3.1	595 HR	Transfer Request Forms. Applications from employees applying for posted vacancies. The information is used to determine if an employee is qualified to be referred for a possible transfer from one department or area to another. This records series may include, but is not limited to, the transfer request form, employee's skills sheets and personal resume for each position for which the employee applies.	FE+3		FE+3	Records are stored electronically in PeopleAdmin.		1

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 107 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

3.1	621 AFS, HR, DE	Appointment, Promotion, and Tenure Records. This series documents the periodic consideration of faculty who are eligible for promotion in rank and change in tenure status, faculty appointments, and compliance with U.T. System regulations for periodic performance evaluation of tenured faculty. Records may include, but are not limited to, appointment, promotion and tenure proposals submitted by department for review by the Promotion, Tenure and Appointment Committee (PTAC); committee recommendations and approvals; and documentation of post tenure review recommendations. Proposals may include, but are not limited to, Chair's letter of proposal, department or school PTAC committee's letter of recommendation, letters of evaluation and a current curriculum vitae.	AC+5, 1		AC+5, 1	O	AC = Termination of employment. Documents for appointments, promotions, and tenure that are not approved are kept for 1 year. VP for Academic, Faculty & Student Affairs keeps lists of initial appointments, promotion and/or tenure actions, and post tenure and other faculty reviews and copies of review reports. Human Resources keeps actual documentation in the Individual Personnel File for promotion and tenure and initial faculty appointment packets. Departments and/or Deans keep documentation for faculty reviews. UTHSCSA Handbook of Operating Procedures policy 3.7.5 states all documentation related to the PTEC (Post Tenure Evaluation Committee) review process will be maintained as a confidential file in the department.		1
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Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 108 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

3.1	699 HR, DE	Individual Personnel File - Residents/Fellows (Selected) - International Medical Graduates (IMGs). A comprehensive record of all personnel actions affecting residents and fellows from foreign countries. May also include application materials, licenses, certifications, training certificates, training permits, evaluations and performance appraisals, disciplinary records, boards records, clinical experiences, leave records, correspondence re: licensure or boards, anything of value in responding to requests for credentialing or verification.	AC+10, 75	AC+10, 75	AC = End of training or until any dispute involving the resident has been resolved, whichever occurs later. All documents should be kept for 10 years after separation from UTHSCSA. Documents needed in verification or credentialing (such as but not limited to evaluations /procedure logs) should be kept 75 yrs. SEE #681 under Medical/Dental - Patient Records for Resident Physician Evaluations/Procedure Logs – Final Summative. NOTE: All records are confidential unless permission is given by trainee. Human Resources only keeps records for Residents/ Fellows paid by UTHSCSA. SEE ALSO 3.1 # 527 for American graduates.
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Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives	
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 109 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.1	700 OIS, HR	International Exchange Visitor Records – Labor Certification/PERM.	AC+5		AC+5	AC = Filing date confirmation from the Department of Labor. NOTE: International Services only keeps copies of lawful permanent residence (LPR), or "green cards," for faculty and staff who initially came in as a visitor then converted to green card status. Human Resources keeps others in individual personnel file for employee.		1

Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives	
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 110 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.1	701 OIS	International Exchange Visitor Records – Immigrant Petition/Form I-140.	AC+5		AC+5	AC = Date of HSC employment termination. NOTE: International Services only keeps copies of lawful permanent residence (LPR), or "green cards," for faculty and staff who initially came in as a visitor then converted to green card status. Departments should keep others in individual personnel file for employee.		1
3.1	702 OIS	International Exchange Visitor Records – H-1B Public Inspection File.	AC+5		AC+5	AC = Date of HSC employment termination.		1
3.1	703 OIS, HR	International Exchange Visitor Records – H-1B Immigration File.	AC+5		AC+5	AC = Date of HSC employment termination.		1
3.1	704 OIS	International Exchange Visitor Records – J-1 Exchange Visitor/Scholar.	AC+5		AC+5	AC = Date of Exchange Visitor Program completion.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 111 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.1	705 OIS, HR	International Exchange Visitor Records – F-1 OPT (Optional Practical Training) Employment.	AC+5		AC+5	AC = Date of HSC employment termination.		1
3.1	706 OIS, HR	International Exchange Visitor Records – O-1 and/or TN (Trade NAFTA).	AC+5		AC+5	AC = Date of HSC employment termination.		1

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.
 1. Page 112 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

Personnel Records - Payroll

3.2.001	152 PA	Employee Deduction Authorizations. Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC+4	AC+4	AC = Termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.
3.2.002	16 PA	Employee Earnings Records. Documentation of employee earnings. Records may include, but are not limited to, Payroll Earnings Registers, Alpha Register, Check Distribution, Check Register, Employee Name Sequence, Daily Transactions, Checks issued for the month, Earning Statement, Canceled Checks and Online adjustments, Monthly detail of close-out, Monthly Adjustment Alphabetic Roster.	4	4	40 TAC 815.106(i).

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 113 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

3.2.003	24 AC	Federal Income Tax Returns (Form 990T, Unrelated Business Income Tax).	20		20		Records not on campus. Filled out and filed at University of Texas System offices.		
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3.2.003	25 PA	Federal Tax Records. Includes 1099, W-2, FICA, and other tax records. This series provides a summary record of data reported on the annual wage and tax statements for agency employees, corrections to these statements, and a record of transmittal to the federal government. Records include print-outs from the agency by year in social security number order which include names, social security numbers, tax subject earnings, other data required by law, summary transmittal forms, and FICA records.	AC+4		AC+4		AC = Tax due date, date claim is filed, or date tax is paid whichever is later. 26 CFR 31.6001-1(e)(2). IRC Section 6531 Title 26-Internal Revenue Code.		
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Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 114 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.2.004	31 PA	Income Adjustment Authorizations. Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.	2		2	29 CFR 516.6(c).		
3.2.005	170 PA	W-4 Forms. Employer's copy of "Employee's Withholding Exemption Certificate".	AC+4		AC+4	AC = Until superseded, obsolete, or upon separation of employee. 26 CFR 31.6001-1 (e)(2).		
3.2.006	171 HR	Wage Rate Tables. Wage/rate tables for employees (salary ranges, positions, etc.) May include survey data compiled for the creation of the pay plan.	2		2	29 CFR 516.6(a)(2). Also called Pay Plan. Both electronic and paper records kept for 2 years.		1
3.2.007	169 HR	Unemployment Compensation Records.	AC+5		AC+5	AC = Termination of Employment. Records are filed electronically through the Texas Workforce Commission (TWC).		

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 115 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.2.008	150 PA	Direct Deposit Application/Authorizations. Applications and authorizations from employees giving permission to the agency to directly deposit payroll checks into a specified bank account.	US		US			
3.2.009	166 HR	State Deferred Compensation Records.	AC+5		AC+5	AC = 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.		
3.2.010	159 HR	Human Resources Information System (HRIS) Reports. Includes supporting documentation.	AC+4		AC+4	AC = After completion of report.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.
 1. Page 116 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

3.2	596 DE	Paycheck Receipt Log. This records series lists in alphabetical order the employee name, employee number, and employee signature for a specific pay period.	3		3				
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Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value CE – Calendar Year End FE – Fiscal Year End <input type="checkbox"/>	LA – Life of Asset MO – Months PM – Permanent US – Until Superseded I – Retain in University Archives O – Review by University Archives



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 117 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

Personnel Records - Personnel Administration

3.3.001	176 HR, EE	Affirmative Action Plans. Affirmative action plans for employees.	5	5	UTHSCSA does not have affirmative actions plans for apprenticeships.	1
3.3.004	149 HR	Benefit Plans. Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation, etc., including amendments.	US+1	US+1	29 CFR 1627.3(b)(2).	
3.3.010	181 HR	Labor Statistics Reports. Reports providing statistical information on labor force.	3	3	Electronic version sent to Bureau of Labor Statistics.	

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 118 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.3.011	158 HR	Former Employee Verification Records. Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC+75		AC+75	AC = Termination of employment. SEE Supplemental Note - Personnel Records, part d, in Appendix. Electronic version of record kept in PeopleSoft Records. SEE 3.1.038 for public access information for current employees.		
3.3.015	163 HR	Positions/Job Classification Review File. Records relating to review and monitoring of job classifications within the university.	US+3		US+3			1
3.3.020	109 DE	Work schedules/block schedules/assignments. Work, duty, shift, crew, or case schedules, rosters, or assignments.	AV		AV	CAUTION: Texas State Retention Schedule requires at least 1 year retention. Paper schedules and electronic schedules for residents and fellows should be retained in the event of a Medicare audit for 10 years after FE.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 119 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.3.022	167 HR	Texas Workforce Commission (TWC) Reports. Reports to the university from TWC or its predecessor pertaining to employees.	3		3			
3.3.023	52 AC, DE	Reimbursable Activities, Requests and Authorizations to Engage in. Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE+3		FE+3		SEE 4.7.008 for fiscal records for federal grants.	
3.3.024	174 HR, DE	Personnel Policies and Procedures. Any internally distributed manuals, guidelines, or similar records that define university wide policies and procedures concerning the personnel of the university.	US+3		US+3		Internal Audit will expect the department to maintain this documentation in the event of an audit, rather than the institutional processing office (i.e. Human Resources). Paper and electronic versions kept.	

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 120 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.3.025	85 DE	Job Procedure Records. Any documents detailing the procedural duties and responsibilities of university positions on a position-by-position basis.	US+3		US+3	Departmental level job description for individual position.		
3.3.026	175 HR, DE	University Staffing Reports. Any reports compiled by the university on aspects of personnel staffing, including listings of all staff by program or name; staff hired during a month; detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, reduction in force reports, etc.	US+3		US+3	Internal Audit will expect the department to maintain this documentation in the event of an audit, rather than the institutional processing office (i.e. Human Resources).		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 121 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.3.027	148 DE	Aptitude and Skills Tests. Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US+2		US+2	29 CFR 1602.31 (State Agencies). 29 CFR 1602.49 (State Universities). CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.		
3.3.028	146 DE	Aptitude and Skills Tests (Test Papers). Aptitude and skills test papers of job applicants or of current personnel taking a test to qualify for promotion or transfer.	2		2	29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49 (State Universities).		
3.3.029	147 HR	Aptitude and Skills Tests (Validation Records). Records of the validation of aptitude and skills tests.	AC+2		AC+2	AC = As long as the test is used by an agency. 29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49 (State Universities).		1

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 122 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.3.030	168 HR	Training Administration Records. Instructional materials and other records associated with in-house training of university personnel on personnel policies and procedures and other policies and procedures that govern the university's programs, services, or projects.	FE+5		FE+5	Instructional materials are kept US+2. Attendance records are kept FE+5 in Knowledge Center database. SEE 3.3.030 # 678 for instructional materials used in training. CAUTION: Does not include hazardous materials training records. SEE item number 5.4.007. SEE 3.3.030 # 117 for retention of training records for sexual harassment, ADA, and EEO/AA.		1
3.3.030	678 HR, DE	Training Administration Records - Instructional Materials. Instructional materials associated with in-house training of university personnel on personnel policies and procedures and other policies and procedures that govern the university's programs, services, or projects.	US+2		US+2	SEE 3.3.030 # 168 for training administration records including attendance. CAUTION: Does not include hazardous materials training records. SEE item number 5.4.007.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 123 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.3.031	115 HR, EE	EEO (Equal Employment Opportunity) Reports and Supporting Documentation. Includes documentation used to complete EEO reports.	3		3	29 CFR 1602.32, 1602.39, 1602.41, 1602.48 and 1602.50. OFCCP (Office of Federal Contract Compliance Program) requires 3 years retention. Includes Post-Employment EEO/AA forms. HR retains the Post Employment EEO/AA forms for Classified and A&P employees. EE only handles demographic data for faculty, no reports.		
3.3.032	157 HR	Equal Pay Records. Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the Federal Equal Pay Act.	3		3	29 CFR 1620.32.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 124 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.3	133 OSP, DE	Time and Effort Report. A record certifying the percentage of time worked on a sponsored project during a particular reporting period.	FE+7		FE+7	Records are kept in electronic format in online Effort Reporting system. Departments keep hard copy of certification record that faculty complete. Beginning with March - August 2004 certification period, department administrator, rather than faculty, enter data.		1
3.3.030	117 EE	Training Administration Records - Sexual Harassment, ADA (Americans with Disabilities) & EEO/AA (Equal Employment Opportunity/Affirmative Action). Includes but is not limited to training attendance records.	20		20	SEE 3.3.030 # 678 for instructional materials.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 125 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

Personnel Records - Time and Leave

3.4.001	172 HR, DE	Accumulated Leave Adjustment Requests. Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances on August 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE+3	FE+3	Internal Audit will expect the department to maintain this documentation in the event of an audit, rather than the institutional processing office (i.e., HR). Information on leave is recorded in the PeopleSoft database.	1
3.4.002	160 DE	Leave Status Reports. Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE+3	FE+3	UTHSCSA reports are issued monthly. Leave information is entered into PeopleSoft. IMIS is responsible for backing up this information.	1
3.4.003	37 PA	Less Than Full-Time Worked Reports. Dates and hours.	4	4	40 TAC 815.106(i).	

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 126 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.4.004	39 PA	Overtime Authorizations.	2		2			
3.4.005	94 DE	Overtime Schedules.	2		2			
3.4.006	104 DE	Time Cards and Time Sheets. A record of the number of hours worked and the number of hours taken as leave.	FE+4		FE+4	40 TAC 815.106(i).		
3.4.007	105 DE	Time Off and/or Sick Leave Requests. This records series may include, but is not limited to, Leave Request Forms, Electronic Time Adjustment Approval Requests and other supporting documentation.	FE+3		FE+3	Includes requests for outside education during working hours. SEE ALSO 3.4 - Agency Item Number 477 for FMLA (Family Medical Leave Act) records.		2
3.4.008	165 HR	Sick Leave Pool Documentation. Requests submitted, approvals, number of hours transferred in and out, etc.	FE+3		FE+3	Kept in both paper and electronic format.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 127 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.4	477 HR, DE	Family Medical Leave Case Files. This series documents requests for leave and granted leaves by employees under provisions of the Federal Family and Medical Leave Act (FMLA) and the UTHSCSA Parental Leave Policy. Records may include, but are not limited to, employee leave request forms; notices to employees of leaves granted or rejected; Certification of Physician or Practitioner for employee or a family member; employee backup information and leave history records; employee time records and documentation of leave taken; continuation of health and dental insurance benefits documentation; dispute records regarding designation of leave as FMLA; and related documentation and correspondence.	FE+3		FE+3	Departments keep leave records and documentation of leave taken. Human Resources keeps all other records. UTHSCSA Handbook of Operating Procedures policy 4.7.13. 29 CFR 825.500.		

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



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 128 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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Fiscal Records - Worksheets, Detail Information on Financial Event or Transaction

4.1.001	2 AC	Accounts Payable Information. This series documents an agency's expenditures and purchases. Records may include, but are not limited to, departmental purchase orders; contract release orders; balance sheets; bills; invoices; invoice vouchers; journal voucher/entry forms; price quotes; and related documentation and correspondence.	FE+3	FE+3	SEE 4.7.008 for fiscal records for federal grants.
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 129 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
4.1.002	70 DE	Billing Detail. Provides itemized billing record for services rendered.	FE+3		FE+3		SEE Departmental Caution Statement. Includes all IDT (Interdepartmental Transfer) transactions, both charges incurred and income received. CAUTION: Does not include long distance telephone billing detail. SEE item number 5.5.001 (other than TEX-AN), 5.5.006 (TEX-AN), and 5.5.007 (disputed calls). Also does not include billing for medical services. See # 338 Billing Records - Medical under section for Patient Billing.		
4.1.003	10 AC	Cancelled Checks/Stubs/Warrants/Drafts. This records series consists of canceled checks issued for authorized payments or refunds.	FE+3		FE+3				

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.
 1. Page 130 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
4.1.004	18 AC	Encumbrance Detail. This records series documents holds placed on funds for payment of services.	FE+3		FE+3			
4.1.005	229 AC, SD	Inventory and Other Cost Files. Production, job, labor, quotes, pricing, specifications, etc.	FE+3		FE+3			
4.1.007	43 DE	Transfers or Budget Revisions. Transfers or adjustments to budgets.	FE+3		FE+3			
4.1.008	597 BU	Electronic Fund Transfers. Direct Deposit Registers.	FE+3		FE+3			
4.1	404 DE	Prior Approval Forms. Forms used to obtain advance approval for payment prior to the contract finalization or engagement of (1) consultants and (2) persons other than employees (except for patients in research studies and new employee moving expenses).	FE+3		FE+3	CAUTION: Departments should keep records for Grant accounts for the length of the grant plus 3 years, or the length of time specified by the granting agency, whichever is greater.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.
 1. Page 131 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

Fiscal Records - Documents of Original Entry

4.2.001	47 BU, DE	Cash Deposit Vouchers. Cash deposits slips.	FE+3	FE+3	SEE Departmental Caution Statement. Internal Audit will expect the department to maintain this documentation in the event of an audit, rather than the institutional processing office (i.e. Bursar). Limited documentation is scanned by Accounting; therefore, additional supporting documentation must be retained by the departments.
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Retention Codes (Field 7)				Archival Codes (Field 8)	
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 132 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
4.2.002	48 BU, DE	Cash Receipts. Includes receipts for fees (permits, licenses, renewals, etc.).	FE+3		FE+3	SEE Departmental Caution Statement. Internal Audit will expect the department to maintain this documentation in the event of an audit, rather than the institutional processing office (i.e., Bursar). These are not currently scanned and there is no plan to do so at this time. Departments will have to retain documentation.		
4.2.003	14 BU	Daily Cash Receipts Logs.	FE+3		FE+3			
4.2.004	19 PU	Encumbrance Vouchers. Orders, statements, change orders, etc.	FE+3		FE+3			

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 133 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
4.2.005	50 AC, PU, MM	Purchase Vouchers. Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+3		FE+3	SEE Departmental Caution Statement. Departments do not need to serve as the official record keeper for these records unless they involve grants. SEE 4.7.008 for fiscal records for federal grants; 4.7 # 505 for non-federal grants. Requisitions are entered online into PeopleSoft by departments and stored in PeopleSoft system. Purchasing has record copies of purchase orders, change orders, and supporting documentation for purchase orders, including sole-source justification forms. Accounting keeps record copies of vouchers, invoices, statements. Receiving keeps record copies of receiving reports. Materials Management keeps record copies of Materials Management requisitions. All PO supporting documentation is		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 134 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

scanned (including best value determination and change order supporting documentation).

4.2.006	29 AC	General Journal Vouchers. A record of budget entries and transfers of funds between an agency's budgets.	FE+3	FE+3	Includes IT journal vouchers.
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 135 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
4.2.007	49 AC, DE	Expenditure Vouchers. Travel, Payroll, etc.	FE+3		FE+3	SEE Departmental Caution Statement. Departments keep only supporting documentation (time keeping, travel reasons/justifications, outside consulting forms, any other materials that assist in gaining a clear understanding of the expenditure). The official records for payroll are retained in Accounting and Payroll; expenditure and travel vouchers are also scanned. SEE 4.7.008 for fiscal records for federal grants, 4.7 # 505 for non-federal grants.		
4.2	523 AC, PU	Travel Central Billing Credit Account Records.	FE+3		FE+3			
4.2	532 BU	Currency Order Records.	1		1			

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 136 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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Fiscal Records - Journals or Registers

4.3.001	42 AC	Sales Journals or Registers.	FE+3	FE+3
4.3.002	40 AC	Receipts Journals or Registers.	FE+3	FE+3
4.3.003	22 AC	Expenditures Journals or Registers.	FE+3	FE+3

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 137 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

Fiscal Records - Ledgers

4.4.001	28 AC	General and Subsidiary Ledgers.	FE+3	FE+3				
4.4.002	46 AC, DE	Accounts Receivable Ledgers.	FE+3	FE+3		Includes manual and electronic invoice and billing records. Internal Audit will expect the department to maintain this documentation in the event of an audit, rather than the institutional processing office (i.e., Accounting). SEE 4.7.008 for fiscal records for federal grants.		
4.4.003	3 AC	Accounts Payable Ledgers.	FE+3	FE+3				
4.4.004	17 PA	Employee Savings Bond Ledgers.	FE+6	FE+6		Federal Reserve no longer sends out ledgers. Electronic tapes destroyed when returned. PeopleSoft shows information with employee records.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.
 1. Page 138 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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Fiscal Records - Reports

4.5.001	45 AC	Worksheets for Preparing Fiscal Reports. This records series consists of the supporting documents of the financial status of the specific entity concerning its operation for the preceding year.	FE+3	FE+3			
4.5.002	32 AC, DE	Internal Fiscal Management Reports. Includes university monthly budget reports.	FE+3	FE+3	Accounting is responsible for the record copy of monthly ledgers sent to each department. Departments may produce their own internal fiscal management reports and are responsible for keeping the record copy of those.		2

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 139 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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4.5.003	5 AC	Annual Financial Reports. Required by the General Appropriations Act (100 Day Report).	AC+6		AC+6	AC = September 1 of odd-numbered calendar years. The record copy of this record series is held by the University of Texas System office and is available online.		
4.5.005	23 AC, CFO	External Fiscal Reports. Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE+3		FE+3	Includes the Administrative Accountability Report and fiscal reports to the UT System Office, both of which are the responsibility of the VP & Chief Financial Officer. A copy of the Administrative Accountability Report is kept in the Library for public viewing.		
4.5.006	346 CFO	Annual Operating Budgets. Required by the General Appropriations Act.	FE+3		FE+3			
4.5.007	598 AC	USAS Reports - Daily.	AC		AC	AC = Receipt and reconciliation of monthly report.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 140 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
4.5.008	599 AC	USAS Reports - Monthly.	AC		AC			
4.5.009	600 AC	USAS Reports - Annual.	FE+3		FE+3			
4.5	4 AC	Annual Financial Report Work Papers. (Includes 13th Month Post-Closing Report).	7		7			
4.5	601 AC	Building Depreciation Ledgers. This records series consists of depreciation logs for buildings owned by the institution. Records include, but are not limited to, depreciation calculations for all buildings; supporting documentation showing the accumulated depreciation has been calculated appropriately; depreciation of buildings for Medicare cost reporting and all ledgers associated with building depreciation.	AC+7		AC+7		AC = Until building is demolished.	

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 141 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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Fiscal Records - Documents Showing Compliance with System of Internal Control

4.6.001	6 AC	Balancing Records.	FE+3	FE+3	Includes monthly financial reports.
4.6.002	51 AC, DE	Reconciliations.	FE+3, FE+6	FE+3, FE+6	Non-federal records are kept FE+3; records for federal accounts for FE+6. Retention reflects UTHSCSA practice. Departmental Caution Statement. Internal Audit will expect the department to maintain this documentation in the event of an audit, rather than the institutional processing office (i.e., Accounting).
4.6.003	71 DE	Cash Counts.	FE+6	FE+6	

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 142 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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Fiscal Records - Other Fiscal

4.7.001	1 AC	Accounting Policies and Procedures Manual. Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the accounting function of an agency.	US+3	US+3
4.7.002	8 AC	Bank Statements. Periodic statement of bank balances containing information showing income and outgoings on a bank account.	FE+3	FE+3

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 143 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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4.7.003	41 AC	Returned Checks /Warrants/Drafts (Uncollectible). This records series documents attempts to collect monies for non-negotiable (usually non-sufficient funds) checks received for payment to university accounts. Records consist of master list of checks returned to the agency and may contain names; addresses; telephone numbers; banks upon which checks were drawn; reasons for return; and notations of any prior activity.	AC+3		AC+3	AC = After deemed uncollectible.		
4.7.004	11 AC, MM	Capital Asset Records.	LA+3		LA+3	Materials Management keeps records for assets that have been sold at auction.		
4.7.005	12 AC	Claim Files.	AC+3		AC+3	AC = Resolution of claim.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 144 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
4.7.006	13 AC	Comptroller Statements. Statements issued by the Comptroller's office, including statements of assurance, financial integrity statements, statements and response to proposals, etc.	FE+3		FE+3			
4.7.007	15 AC	Detail Chart of Accounts. A list of all accounts in use by the university for a fiscal year. Each account is usually assigned a number or code.	FE+3		FE+3			

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 145 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

4.7.008	388 AC, DE	Federal Grant Records (Sponsored Grants & Contracts) - Fiscal Records. This records series consists of fiscal records for grants and contracts that have been awarded by federal agencies.	AC+6		AC+6		AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (The Common Rule). Retention reflects UTHSCSA practice. CAUTION: Retention requirements may vary depending on the specific federal funding agency. The university must ensure that records are retained for the appropriate retention period. Internal Audit will expect departments to provide records in case of an audit. Accounting keeps these records for FE+3 years only. Department responsible for backing them up for entire retention period required by granting agency if it is longer.		
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Retention Codes (Field 7)	Archival Codes (Field 8)
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 146 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
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4.7.009	26 AC	Fixed Asset Sequential Number Logs. This records series documents lists of identification numbers assigned to the fixed assets owned by an agency to be used in the process of tracking and accounting for those assets.	US+3		US+3			
4.7.010	38 AC	Long-Term Liability Records. Bonds, etc.	AC+3		AC+3	AC = Retirement of Debt.		
4.7.011	30 AC	Texas Facilities Commission Statements (TFC). Charge or bill statements received by the university from the TFC for services provided.	FE+3		FE+3			

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 147 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
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4.7.012	53 CFO, DE, PU	Signature Authorizations. Signature cards or similar records establishing authority of the university employee to initiate or authorize financial transactions on behalf of the university.	US+FE+ 3		US+FE +3		Recorded in PeopleSoft database. Departments keep paper copy. SEE ALSO record 4.7, Agency Item Number 476 for Federal Surplus Property Program Authorized Representatives Records. VP/CFO keeps records for authorizations for handling gifts, contracts, space leasing, construction, banking, IRS forms, sponsored research, and some purchase orders. Purchasing keeps records of people authorized to make car and hotel direct bill reservations on behalf of the entire HSC campus. Departments are responsible for those authorized to make any charges for their department.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 148 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
4.7	132 OSP	Indirect Cost Calculations. Data gathered from departments 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 activities -- research, instruction, administration, etc.	FE+7		FE+7		Policy based on Federal Office of Management and budget (OMB) Circular A-21.	
4.7	344 CDO, DE	Gift Records - Agreements, Wills, and Related Documents. This series documents potential or realized private, corporate, or public agency funding to the institution, including endowments and trusts. This series includes letters and agreements of gift, copies of bequest instruments and wills from individuals or estates, and related documentation and correspondence.	PM		PM	I	Security is open with restrictions. SEE ALSO record 1.1 # 711 - Gift Records - All Other Records and record 9.1 # 652 - Scholarship Reports.	2

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 149 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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4.7	452 LIB	Library Materials Inventory Control (Removal) Lists.	FE+3		FE+3			
4.7	476 AC	Texas Facilities Commission - Inter-Governmental Programs/Federal Surplus Property Program Authorized Representatives Records.	5		5			
4.7	505 AC, DE	Non-federal Grant Records (Sponsored Grants and Contracts) - Fiscal Records. This records series consists of fiscal records for grants and other sponsored contracts that have been awarded by non-federal agencies.	AC+3		AC+3			

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 150 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
4.7	529 DN, DE	Continuing Medical Education (CME), Continuing Dental Education (CDE), Continuing Nursing Education (CNE) Activity Fiscal Records. Includes records for funding support of events and expenditure of funds.	6		6			
4.7	602 AC, OSP	Account Records. This records series documents the creation of accounts. Records may include, but are not limited to, signature authorizations, active dates of account, modification of account numbers, authorized users/approvers and related documents and correspondence.	AC+6		AC+6			

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 151 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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4.7	711 CDO, DE	Gift Records – All Other Records. This series documents potential or realized private, corporate, or public agency funding to the institution, including endowments and trusts. This series may include but is not limited to award guidelines; financial statements and reports, including records of fund disbursements; and related documentation and correspondence.	7		7	O		2

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 152 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

Support Services Records - General

5.1.001	366 PU	Contracts and Leases. Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. Also includes interagency agreements (between State of Texas government entities) and clinical services agreements for patient care.	AC+4	AC+4	AC = Expiration or termination of the instrument according to its terms. NOTE: Original, signed, and fully executed contract is imaged and kept in the centralized institutional document imaging system managed by Purchasing. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. SEE 5.1 # 684 for provider enrollment contracts.
5.1.003	135 MM	Delivery Reports. Records tracking the number of deliveries performed or verifying delivery to departments.	2	2	

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 153 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
5.1.004	319 IMS	Mail and Telecommunications Listings. Any mailing address, telephone or fax number, or e-mail address records maintained by the university on its employees or on entities or persons it serves.	US		US	Electronic version of records for faculty and staff kept in PeopleSoft database and available via UTHSCSA web site. Printed Faculty & Staff Directory produced from this database. Student information available only in online student directory maintained in student information system database (SISPlus).		1
5.1.005	139 MM	Postage Records. Records and reports of postage expenses, including postal meter usage.	FE+3		FE+3			
5.1.007	119 ATS	Requisitions for In-Agency/Inter-Agency Copy/Printing Service. Includes word processing and data processing.	AV		AV			

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 154 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
5.1.010	86 DE	Licenses and Permits for Non-vehicles. Does not include licenses and permits issued by an agency as part of its statutory responsibilities.	AC+2		AC+2	AC = Expiration date of license or permit.		
5.1.011	118 ATS, LIB	Photocopier and Telefax Usage Logs & Reports.	AV		AV			
5.1.012	228 SD	Charge Schedules/Price Lists. Schedules of prices charged by the university for services to the public or other agencies, including any documentation used to determine the charges.	US+3		US+3			
5.1.013	84 DE	Insurance Policies. For vehicles, equipment, etc.	AC+4		AC+4	AC = Expiration or termination of the policy according to its terms.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 155 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
5.1.014	92 DE	Office Procedures. Any internally distributed manual, guidelines, or similar records that establish standard office procedures for the university; for example, university style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US+1		US+1			
5.1.015	134 MM	Correspondence Tracking Records. Any record created by the university to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers.	1		1			
5.1.015	519 PR	President's Correspondence Logs. Used to track handling of mail coming into the President's Office.	6		6			

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 156 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

5.1.017	604 PU	Contract Log. List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE+3		FE+3				
5.1	472 SD, DE	Service Request Forms.	AV		AV		Integrated Management Information Systems (IMI), Information Management Services (IMS), Library, Systems & Network Operations, Academic Technology Services, Materials Management or other departmental service request forms. SEE 5.1.007 for Printing/photocopy requests and 5.2.019 for mechanical services. IMI, IMS, Library, and Systems & Network Operations are submitted electronically and received via e-mail.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.
 1. Page 157 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

5.1	568 DE	Housing/Tenant Records. This series provides a record of occupancy in all institution administered housing. The series may include, but is not limited to, housing requests, housing assignments, signed housing policies, driver's license forms, reservation/housing agreements, tenant rent and deposit receipts, tenant discrepancies memos, rent delinquent notices, vacating notices, and related documentation and correspondence.	AC+4		AC+4		AC = End of student rotation or, for contracts, expiration of contract.		
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Retention Codes (Field 7)	Archival Codes (Field 8)
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LA – Life of Asset MO – Months	



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 158 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
5.1	605 DE	Shipping Records. This series provides a record of items that are mailed by the department via UPS, Federal Express, or another carrier. Records may be used for billing and/or tracking. These records include: printing and mailing shipping forms; parcel mailing order forms; and related correspondence.	1		1	SEE 5.4 #539 for shipping of hazardous materials.		
5.1	606 DE	Permits - Mail Services. This records series consists of bulk mailing permits.	AC+1		AC+1	AC = After expiration of permit.		
5.1	607 DE	Postal Boxes Records. Rental Agreements For Postal Boxes. May include, but is not limited to, application forms, renewal notices, closeout notices, receipts, forwarding information.	AC+1		AC+1	AC = Termination of agreement.		
5.1	608 DE	Registered Mail Receipts. This records series consists of receipts for registered mail.	1		1			

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 159 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
5.1	609 DE	Contracts and Leases - Not Executed. Legal documents, correspondence, reports, etc. relating to the negotiation of contracts and leases that were not executed.	AC+1		AC+1	AC = Determination that governmental entity has ceased the negotiation process with no contract agreement.		
5.1	684 UTM, DE	Provider Enrollment Contracts. Contracts with insurance companies for reimbursement for patient services.	AC+10		AC+10	AC = Termination of agreement. Departments are official record keeper only if the contract is with someone other than UT Medicine.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 160 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

Support Services Records - Facility Management

5.2.001	120 FM	Appraisals - Building or Property.	AV	AV	O	Electronic records are updated and maintained on the UT System and Administration WEB site.
5.2.002	122 FM, FPO	Building Construction Project Files. Planning, design, and construction records; accepted and rejected bids; correspondence; etc.	AC+10	AC+10	O	AC = Completion of project. SEE ALSO item numbers 5.2.003 for building plans and specifications and 5.2.028 for building construction contract and inspection records.

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 161 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
5.2.003	123 FM, PU, FPO	Building Plans and Specifications. Includes architectural and engineering drawings, profiles, and blueprints.	LA, AC+2		LA, AC+2	O		
<p>University owned: LA; Leased: AC+2. AC = For leased buildings, termination or cancellation of lease.</p> <p><input type="checkbox"/> SEE ALSO item numbers 5.2.002 for building construction project files and 5.2.028 for building construction contracts and inspection records.</p> <p>ARCHIVES NOTE: Archival review designation is for university owned buildings only. Facilities Management handles records for owned buildings. Purchasing handles records for leased buildings. Facilities Planning & Operations also has records for leased space.</p>								

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 162 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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5.2.004	191 FSP	Building Space Requests.	AV		AV	I		
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New building or space requests. Keep records at least 1 year. New building programming begins in the office of the Senior EVP and Chief Operating Officer. However, these records are difficult to assign because there are so many departments involved in a new building program, with design, construction, space assignment and space reporting. These include Facilities Management; University Scheduling & Facilities Space Planning & Real Estate; and various deans, directors and chairs.

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 163 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
5.2.005	124 EN	Calibration Records (Equipment or Instrument).	10, AC		10, AC	Calibrations for non-radiological equipment are retained for 10 years. Retention for calibrations of radiological equipment is normally AC, where AC = 3 years or until superseded by the next regulatory inspection, whichever is later (TAC 289.202(ggg)(5) subsection nn(1)). However, for radiological equipment used to perform surveys, measurements, and calculations used for dose determination; used for air sampling and bioassays; and for calculations used to determine releases, AC = termination of the license/registration. TAC 289.202(ggg)(5) subsection (nn)(2).		
5.2.006	140 MM	Property Destruction, Certificates of.	FE+3		FE+3			

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 164 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
5.2.007	323 UPO	Damage Reports. Reports of damage to university owned property.	FE+3		FE+3			
5.2.008	224 PU	Equipment History File; Equipment Service Agreements. Agreements or contracts between the university and equipment vendor to provide maintenance service for equipment. Includes requests for installation, moves service, etc.; and service/repair logbooks, etc. Also includes equipment loan or donation agreements.	LA+3		LA+3	NOTE: Original, signed, and fully executed contract is imaged and kept in the centralized institutional document imaging system managed by Purchasing.		
5.2.009	21 AC, DE	Equipment Inventory Detail Report Forms. Updates university portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE+3, AV		FE+3, AV	Both Accounting and Departments must keep records for FE+3. Departments may retain longer if they feel they are valuable.		
5.2.010	79 DE	Equipment Manuals.	LA		LA			

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.
 1. Page 165 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
5.2.011	80 DE	Equipment Warranties.	AC+1		AC+1	AC = Expiration of warranty.		
5.2.012	125 FM	Estimate Files (Supply and Repair Cost Estimates).	1		1	Cancelled work orders/projects only.		
5.2.014	33 AC, DE	Inventory - Annual Physical. Property, equipment supply verification.	FE+3, AV		FE+3, AV	Both Accounting and Departments must keep records for FE+3. Departments may retain longer if they feel they are valuable.		
5.2.015	35 AC	Inventory, Notices of Equipment Removed From. This series documents changes in state owned property; requests to declare items surplus, salvage or scrap. Records may include related documentation and correspondence.	FE+3		FE+3			
5.2.016	34 AC	Inventory System Update Listings. Listing shows all additions, changes, deletions, and transfer time for the monthly processing period.	AC		AC	AC = Transfer of information into annual listing.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 166 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
5.2.017	325 UPO	Lost and Stolen Property Reports.	FE+3		FE+3				
5.2.018	98 DE	Quality Control Reports.	2		2				
5.2.019	232 SD, DE	Service Orders. University copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts and remarks.	1		1		SEE Departmental Caution Statement.		
5.2.020	231 SD	Supply Usage Records. This series is used to document supply usage and charges. This series may include, but is not limited to, stock printouts; inventory reports; and related documentation and correspondence.	FE+1		FE+1				

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 167 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
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5.2.021	141 MM	Surplus Property Sale Reports. This records series consists of a list of surplus equipment which is advertised, and consequently sold at public auction. The information may include but not be limited to an Agreement For Auctioneer Services; advertising documents; Terms And Conditions Of Sale; a financial report of money received for items sold at auction, and related documentation and correspondence.	FE+3		FE+3				
5.2.022	128 FM	Utility Usage Reports.	AV		AV		FM keeps for FE+3.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 168 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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5.2.023	54 AC, SD	Year-to-Date Activity (Inventory Listing). Shows additions, changes, transfers, and deletions of information within the inventory system. Data include university, division, tag number, batch, document, transaction date, location, item code, description, date, and cost.	FE+3		FE+3			
5.2.024	230 SD	Material Specifications.	AC+2		AC+2	AC = Material is no longer in the agency.		
5.2.025	20 AC	Equipment Descriptions and Specifications.	AC+2		AC+2	AC = Equipment is no longer in the agency.		
5.2.026	272 FSP	Facilities Reservation Logs. Reservation logs or similar records relating to the use of university facilities such as meeting rooms, auditoriums, etc.	2		2			

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 169 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
5.2.027	195 FSP	Space Utilization Reports - Classroom.	AV		AV			
5.2.028	121 FM	Building Construction Contract and Inspection Records. Building construction contracts, surety bonds, and inspection records.	LA+10		LA+10	O SEE ALSO item numbers 5.2.002 for building constructin project files and 5.2.003 for building plans and specifications.		
5.2	126 FM	Facilities Management Maintenance/Renovation/Repair Records. This series documents the condition, upkeep, and routine maintenance of the institution's buildings and grounds.	AV		AV	Retention periods are based on cost of project: \$100 and under FE; \$101 - \$4,999 AC+3; 5000 - \$25,000 AC+5; \$25,001 and up AC+10, where AC = End of project.		
5.2	506 AC, DE	Property Removal Permits.	AC+3		AC+3	AC = Property returned to university or new permit issued. Accounting keeps records for 3 years. Departments should dispose of form once property is returned or a new permit is issued.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 170 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
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5.2	559 FSP	Building Code Listing. List of codes used to designate buildings at various locations and campuses of the university.	US+5		US+5			
5.2	560 FSP	Lease Room Assignments and Leased Building Documentation.	AC		AC	AC = Termination of lease or reassignment of space. Leases tracked via Space Management System (SMS) database although office keeps paper copies of initial requests and leases. SEE ALSO 5.2 # 561 for SMS records.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 171 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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5.2	561 FSP	UTHSCSA Space Management System (SMS) Records.	AV		AV		NOTE: Keep records at least 5 years. May then be kept longer as needed. Records maintained electronically in FM Systems database. Reports generated from database and kept by Chief Operating Officer or VP for Academic , Faculty & Student Affairs, as appropriate.		
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 172 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
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Support Services Records - Purchasing

5.3.002	27 AC	Freight Bills Paid.	FE+3	FE+3	
5.3.003	136 MM	Freight Claims. This records series consists of documentation relating to a demand upon a carrier for cargo loss or damage or for the repayment of an overcharge.	AC+2	AC+2	AC = Resolution of claim.
5.3.004	225 PU	Order - Acknowledgements. This records series consists of customer notification that their order was received by the supplier.	AV	AV	
5.3.005	138 MM	Packing Slips. This series documents the receipt of equipment, supplies, other items and services from vendors. The series includes: packing slips; shipping and container lists; and bills of lading.	AV	AV	

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 173 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
5.3.007	223 PU	Bid Documentation. Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	FE+3		FE+3			
5.3.008	226 PU	Purchasing Logs. Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE+3		FE+3			

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 174 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
5.3.009	227 PU	Requests for Information. Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC		AC	AC = Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.		
5.3	522 PU	Procurement Card (ProCard) Records. A record of purchases made with a university Procurement Card. This records series may include, but is not limited to, Procurement Card transaction log, original charge slip, sales receipt, packing slip, invoice, or any other information related to the purchase.	FE+3		FE+3			

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 175 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

Support Services Records - Risk Management

5.4.001	143 EN	Accident Reports and Associated Documentation. Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally on accident frequency.	CE+5	CE+5	29 CFR 1904.33. Includes Notification of an On-the-Job Injury forms. The Texas Department of Insurance retains copies of the reports submitted to it for 50 years. SEE ALSO 5.4 # 402 - Health and Safety Incident Reports for injuries to students or visitors and 5.4 # 427 Records of Terminated Principal Investigators (PI's).
5.4.002	233 EN	Evacuation Plans. Plans for evacuation of university facilities in cases of emergency.	US	US	

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 176 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

5.4.003	237 EN	Inspection Records. Fire, safety, and other inspection records of university facilities and equipment. Includes, but is not limited to, testing records, fire alarm certificates (new buildings), certification of asbestos-free building (new buildings).	AC+3		AC+3	AC = Inspection, or date of the correction of the deficiency if inspection report reveals a deficiency. Includes entry control device testing for very high radiation areas. CAUTION: Does not include inspection reports of building construction. SEE item number 5.2.028.		
5.4.004	234 EN	Fire Orders. Orders issued by Fire Marshal to correct deficiencies in compliance with fire code.	AC+3		AC+3	AC = Deficiency corrected.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 177 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
5.4.007	236 EN	Hazardous Materials Training Records. Records of training given employees in an agency hazard communications program. Includes radiation safety, chemical safety, and biological safety/blood borne pathogens.	AC+5		AC+5	Texas Health and Safety Code, 502.009(g). PI's (Principal Investigators) are required to maintain documentation of internal training for 5 years. UTHSCSA keeps records for AC+5, where AC = Termination of employment. Some training is web-based.		
5.4.008	235 EN, FM	Hazard Communication Plans.	US+5		US+5	Texas Health and Safety Code, 502.009(g).		
5.4.009	239 EN, DE	Workplace Chemical Lists. Includes chemical inventories.	30		30	Texas Health and Safety Code, 502.005(d).		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 178 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

5.4.010	238 EN	Material Safety Data Sheets.	AC		AC		AC = After sheets are updated or hazardous chemical no longer stored by university, as applicable. Available via web site: http://library.uthscsa.edu/2011/10/msds-material-safety-data-sheets-online/ where it is updated automatically by vendor.		
5.4.011	334 UPO	Visitor Control Registers. Logs, registers, or similar records documenting visitors to limited access or restricted areas of university facilities.		3		3			

Retention Codes (Field 7)	Archival Codes (Field 8)
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 179 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
5.4.012	333 UPO, SNO, IMS	Security Access Records. Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to university facilities, equipment or automated systems. Also includes Access Control Executive (ACE) designation forms for departments and records indicating fulfillment of annual ACE training requirements.	AC+2		AC+2	AC = Until superseded, date of expiration, or date of termination, whichever sooner. SNO handles security for automated systems. NOTE: This is a vital record. Responsible department should check for backup.		1

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 180 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
5.4.013	365 PR, DE	Business Continuity Plans. Includes comprehensive programs for business continuity, disaster prevention and total business recovery in the event of an operational disruption, or an adverse, major or catastrophic event such as severe weather, riots, fires, droughts, floods, or other events which could affect normal operations and facilities within the jurisdiction of the institution. Includes business recovery, disaster recovery, business resumption, contingency planning, and crisis management planning. The preparedness portion may include but is not limited to: a list of essential employees, housing, emergency numbers, etc. The recovery portion may include but is not limited to: diaries; logs; reports; photographs; notes which indicate or document what happened, when, and where;	US, US+3		US, US+3	Retention: All departments except University Police = US; University Police = US+3 as required by Local Schedule PS - Retention Schedule for Records of Public Safety Agencies - as recommended by UT System Police Director's Office.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 181 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

and related documentation and correspondence. May include documentation of a predetermined set of instructions or procedures that describe how the university's business functions will be sustained during and after a significant event or disruption. Plans may be unit specific or part of a larger entity-level plan.

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 182 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
5.4	72 DE	Controlled Substance Drug Logs.	AC+2		AC+2			
						For pharmacies AC = date of inventory or creation of other records required by the Texas Administrative Code; for physician's offices AC = date of acquisition or receipt of substance; for other Federal/DEA records requirements AC = date of the biennial inventory or, for other records, the creation of the record; for researchers AC = date of acquisition or receipt of substance unless a longer period is required by the sponsor of the research study. Retention based on Federal and Texas drug laws: 22 TAC Part 15 291.75; Texas Medical Board Rules 169.7; 21 CFR Ch. 11 1304.04; 37 TAC Part 1 13.207.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 183 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
5.4	76 DE, PU	Drug Enforcement Agency (DEA) Forms.	AC+2		AC+2			
						For pharmacies AC = date of inventory or creation of other records required by the Texas Administrative Code; for physician's offices AC = date of acquisition or receipt of substance; for other Federal/DEA records requirements AC = date of the biennial inventory or, for other records, the creation of the record; for researchers AC = date of acquisition or receipt of substance unless a longer period is required by the sponsor of the research study. Retention based on Federal and Texas drug laws: 22 TAC Part 15 291.75; Texas Medical Board Rules 169.7; 21 CFR Ch. 11 1304.04; 37 TAC Part 1 13.207.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 184 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
5.4	396 EN	Environmental Audits.	US+2		US+2		Audit of facilities that dispose of waste materials for compliance issues.		
5.4	401 EN	Occupational Safety Evaluations (Safety Surveys). This series documents inspections done by Environmental Health & Safety in the course of routine business and is used by the institution to correct and analyze safety problems and to document compliance with regulations. This series may include, but is not limited to, inspection sheets which show date of inspection, notation of violations, and suggested corrective measures; reports acknowledging compliance with regulations; authorizing signatures; and related information, documentation and correspondence.	AC+5		AC+5		AC = date of inspection/survey or date of the correction of the deficiency if the inspection report reveals a deficiency.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 185 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
5.4	402 EN	Health and Safety Incident Reports. Reports any accidents or incidents incurred by students or visitors to the university.	10		10			
5.4	403 EN	Radioactive Material Handling and Disposal Records. This series is used to provide a record of the reception, handling, shipment and disposal of radioactive material or radioactive hazardous wastes at the institution to comply with federal and state record keeping and reporting requirements. The series also provides the office with a record of past activity. Records may include: Uniform Hazardous Waste Manifest forms (EPA 8700-22); Radiation Waste Shipment and Disposal Manifest forms (vendor form); Radionuclide Data Form and related correspondence.	PM		PM			

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 186 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
5.4	418 EN	Waste Disposal Manifests - Medical Waste.	50		50			
5.4	419 EN	Safety Manuals - Radiation.	PM		PM			
5.4	420 EN	Safety Manuals - Chemical, Physical Safety, and Biological Safety/Blood Borne Pathogens.	US+5		US+5			
5.4	421 EN	Reports to Texas Commission for Environmental Quality.	3		3			
5.4	422 EN	Select Biological Agents (CDC) Records - Registration Documents.	US+5		US+5	Government Code Title 4, Subtitle B, Chapter 418, Subchapter H, Section 418.178 prohibits release via freedom of information requests.		
5.4	423 EN	Radiation Program Audits.	3		3	25 TAC 289.256(mm)(2).		

Retention Codes (Field 7)	Archival Codes (Field 8)
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 187 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

5.4	424 EN	Radiation Protection Program Records. Includes Radiation Safety Committee minutes and supporting documentation as well as applications to the committee and correspondence between the committee and the faculty authorized user. This records series is also used to document the licensing and registration of the institution by federal, state, and local agencies to receive, use, store, dispose of, and ship radioactive materials and radiation producing machines. These records include federal and state applications and certificates required by the Texas Department of State Health Services - Radiation Control. This series may also include related correspondence and documentation of regulatory agency inspections.	PM		PM		Mandated by Department of State Health Services. 25 TAC 289.202.		
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LA – Life of Asset MO – Months	



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 188 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

5.4	425 EN	Radioactive Drug Research Committee Minutes and Annual Reports.	PM		PM	Mandated by FDA.		
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5.4	426 EN	Minutes of Chemical Safety Committee, Physical Safety Committee, Infection Policy & Education Committee, and UTHSCSA Institutional Biosafety Committee.	6		6	Biosafety Committee minutes retention is mandated by NIH. NOTE ON SECURITY: UT System Institutional Biosafety Committee has open records while the UTHSCSA Institutional Biosafety Committee has closed records (Government Code Title 4, Subtitle B, Chapter 418, Subchapter H, Section 418.178. SEE 5.4 # 538 for UT System Institutional Biosafety Committee. Confidentiality of other committee records in this series are covered under state laws pertaining to peer review provisions for committees at Health Science Centers.		
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 189 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
5.4	427 EN	Records of Terminated Principal Investigators (PI's). Includes correspondence related to safety issues, surveys performed in their laboratories, spills/injuries that may have occurred, etc.	AC+5		AC+5	AC = Termination of employment.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 190 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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5.4	428 EN	Radiation Monitoring and Exposure Records. This series provides a record of radiation testing and monitoring of employees, visitors, facilities, and the surrounding environment and is used to comply with federal and state reporting and licensing requirements and insurance carrier reporting requirements. Includes: chemical and radiation exposure reports such as terminated badge files, Cumulative Occupational Exposure History (RC Form 202-2) and Occupational Exposure Record for a Monitoring Period (RC Form 202-3); embryo/fetus dose (radiation) records; and records on radiation dose to individual members of the public.	PM		PM	25 TAC 289.202.		
5.4	429 EN	Records Used to Prepare RC Form 202-2 and RC 202-3.	3		3	Form 202-2: 25 TAC 289.202(pp); Form 202-3: 25 TAC 289.202(rr)(5).		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 191 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
5.4	462 UPO	Eligibility to Handle Select Biological Agents or Toxins, Annual Statements of.	US+1		US+1			
5.4	538 EN	Minutes of the UT System Institutional Biosafety Committee.	6		6	Biosafety Committee minutes retention is mandated by NIH. UT System Institutional Biosafety committee has open records while the UTHSCSA Institutional Biosafety Committee has closed records by Government Code Title 4, Subtitle B, Chapter 418, Subchapter H, Section 418.178. SEE 5.4 # 426 for UTHSCSA Institutional Biosafety Committee.		
5.4	539 EN	HAZMAT (Hazardous Materials) Records. Includes reports of HAZMAT incidents, hazardous materials shipping records/manifests, and training on shipping hazardous materials.	10		10	Required by Department of Transportation.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 192 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
5.4	553 EN	Radiation Safety Contamination Surveys. Records of surveys performed to detect the presence of radioactive material contamination.	3		3	25 TAC 289.256(bb)(3) and (www).		
5.4	554 EN	Sealed Source Leak Tests.	AC+3		AC+3	AC = Lifetime of source. 25 TAC 289.201(g)(7), 289.202(bbb) and 289.256(www).		
5.4	555 EN	Sealed Source Transfers/Disposal Forms.	PM		PM	25 TAC 201(d)(1) and 289.256(www).		
5.4	556 EN	Sealed Source Inventories.	3		3	25 TAC 289.256(www) and (z)(2).		

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CE – Calendar Year End FE – Fiscal Year End <input type="checkbox"/>	PM – Permanent US – Until Superseded
LA – Life of Asset MO – Months	



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.
 1. Page 193 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

5.4	557 EN	University Hospital (UH) Patient Surveys/Release. Includes brachytherapy patient monitoring records. This records series contains records of radiation area surveys performed on patients treated with radioactive materials in order to document compliance with state and federal regulations.	PM		PM	25 TAC 289.256.		
5.4	558 EN	Assessment of Internal Radiation Exposures/Bioassays. Records of bioassay uptake measurements and associated calculations to determine presence of internal contamination of radioactive material.	PM		PM	25 TAC 289.256.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 194 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

5.4	637 EN	Chemical and Hazardous Waste Disposal Records. This series documents the receipt, shipment, and disposal of chemical material or hazardous wastes on campus. This series includes, but is not limited to, chemical and waste inspection forms; drum packing sheets; Uniform Hazardous Waste Manifest forms (EPA 8700-22); Certificates of Disposal from vendors; land disposal notification forms; waste disposal records; and related documentation and correspondence.	PM		PM	Does not include radioactive materials. SEE 5.4 # 403.		
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Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 195 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
5.4	638 EN	Industrial Waste Water Discharge Permit Records. Includes waste water discharge permit applications, permits, water quality reports, waste water discharge records, notices of violation, notices of non-compliance, Slug Control Plan submitted to San Antonio Water System (SAWS), and related documentation and correspondence.	AC+10		AC+10	AC = Expiration of permit.		
5.4	639 EN	Air Permit Records. Includes communications with the Regional Air Pollution Authority (RAPA), which is under the jurisdiction of the environmental Protection Agency (EPA) of the federal government. This series may include, but is not limited to, air discharge permits, air quality reports, notices of violation, notices of non-compliance, and related documentation and correspondence.	AC+10		AC+10	AC = Expiration of permit.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 196 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
5.4	640 FM	Asbestos Records. This series documents a building by building survey and plan to correct asbestos material hazards. May include, but is not limited to, surveys, monitoring tests and reports, data forms, building plans, correction checklists, removal job records, and related documentation and correspondence.	PM		PM			
5.4	641 DE	Medical Fitness Records. Records documenting the medical fitness of employees working in positions with exposure to hazardous conditions such as Class B and C carcinogenic compounds, asbestos, lead, or excessive noise.	AC+30		AC+30	AC = After separation for records documenting persons contacting or removing hazardous materials.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 197 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

5.4	642 DE	Medical Surveillance Records. This series documents the medical history of employees working in positions with exposure to high risk hazardous conditions such as Class B and C carcinogenic compounds, asbestos, lead or excessive noise. Medical examinations of workers are made at the beginning and termination of institution employment and periodically throughout the career course as well as immediately following an accident or potential exposure incident. This series may include but, is not limited to, physician medical statement, laboratory test records and results, and related documentation and correspondence.	AC+30		AC+30	AC = After separation for records documenting persons contacting or removing hazardous materials.		
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Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value	I – Retain in University Archives O – Review by University Archives
CE – Calendar Year End FE – Fiscal Year End	PM – Permanent US – Until Superseded
LA – Life of Asset MO – Months	



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 198 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
5.4	683 EN	Select Biological Agents (CDC) Records - Non-Permits. Includes inventory and utilization records; transfers; list of personnel with access; access log records; any records of theft, loss, release, or destruction; training records; any records for responsible official, written explanation of discrepancies, biosafety, security and incident response including plans.	CE+3		CE+3		Government Code Title 4, Subtitle B, Chapter 418, Subchapter H, Section 418.178 prohibits release via freedom of information requests.	
5.4	693 EN	Inspection Records for Protective Eyewear for Lasers. Documentation of examinations to ensure the reliability of eyewear, including protective filters and integrity of the protective filter frames.	5		5		25 TAC 289.301(ee) requires 5 year retention. (Registration and Radiation Safety Requirements for Lasers and Intense-Pulsed Light Devices).	

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 199 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

5.4	694 EN	Laser Registration and Ownership Records. Includes records of equipment receipt, transfer, and disposal; registration certificates, conditions or documents incorporated into the license or certification of registration by reference, and amendments thereto; operating procedures applicable to work under the license or certificate of registration; and reports of stolen, lost or missing lasers or IPL devices.	AC		AC		AC = Termination of certificate of laser registration. 25 TAC 289.301(ee) Registration and Radiation Safety Requirements for Lasers and Intense-Pulsed Light Devices. NOTE: Records for stolen, lost or missing IPL devices must be kept for an additional 5 years.		
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Retention Codes (Field 7)	Archival Codes (Field 8)
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CE – Calendar Year End FE – Fiscal Year End <input type="checkbox"/>	PM – Permanent US – Until Superseded
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 200 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

Support Services Records - Telecommunications

5.5.001	315 IMS, DE	Billing Detail - Telecommunications (Other than TEX-AN). In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE+3	FE+3	Telephone call detail. SEE item number 5.5.006 for TEX-AN billing detail. Internal Audit will expect the department to maintain this documentation in the event of an audit, rather than the institutional processing office. SEE 4.7 # 505 (non-federal) or 4.7.008 # 388 (federal) for expenses paid by grants.
5.5.002	321 DE	Long Distance Telephone Logs. Long distance logs created by agencies for internal documentation purposes. Includes any similar logs created for long distance facsimile or electronic transmissions.	AV	AV	SEE Departmental Caution Statement.

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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded				



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 201 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
5.5.003	103 DE	Station Activity Reports. Internal listing of all incoming/outgoing telephone activity to individual telephone stations.	AV		AV			
5.5.004	320 N/A	System Activity Reports. Internal listing of all incoming/outgoing university telephone activity.	AV		AV	UTHSCSA currently does not have this kind of report.		
5.5.006	316 IMS	Billing Detail - Telecommunications (TEX-AN). In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE+3		FE+3	The billing agency will maintain all long distance TEX-AN records and will provide each using agency its bill summary of centralized capitol complex telephone service without call detail records. For these bill summaries, SEE item number 4.7.011. SEE item number 5.5.001 for billing detail from carriers other than TEX-AN.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 202 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
5.5.007	318 IMS, DE	Disputed Call Documentation. Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal log distance use.	FE+3		FE+3			
5.5	317 IMS	Communication Tapes and Printouts. Tapes and printouts of incoming and outgoing telephone and radio communications.	30 days		30 days		Information for this listing is from the Texas State Library and Archives Commission's local schedule PS (3rd edition), retention schedule for records of public safety agencies, effective August 14, 2011.	

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 203 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

Support Services Records - Vehicles

5.6.003	129 FM	Inspection, Repair and Maintenance Records - Vehicles.	LA+1, 3	LA+1, 3	Daily or other periodic inspection reports of police vehicles and their apparatus must be retained for 3 years. Retention based on Local Schedule PS - Retention Schedule for Records of Public Safety Agencies - as recommended by UT System Police Director's Office.
5.6.004	324 UPO	License and Driving Record Checks.	AC	AC	AC = Until superseded or until termination of employment.
5.6.005	137 FM	Vehicle Use Reports. Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	FE+3	FE+3	Operations logs - vehicles now included in this record.
5.6.007	44 AC	Vehicle Titles and Registrations.	LA	LA	

Retention Codes (Field 7)				Archival Codes (Field 8)	
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 204 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
5.6.009	326 UPO	Parking Permits or Assignments.	US		US			
						Includes also parking waivers, parking salary deduction agreements, parking waiting lists. SEE 3.2.001 for parking salary deduction authorizations held by Payroll, which are kept for AC+4.		
5.6	611 UPO	Vehicle Accident Records. Documents accidents involving vehicles owned by the university. May include, but is not limited to, vehicle accident reports, vehicle accident claims, and related documentation and correspondence. Information may include: vehicle type and identification number, name of party using the vehicle, notation of condition before and after use, and authorizing signatures.		2		2		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 205 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

Police Records

327 UPO	Police Offense Reports - Felonies (Does Not Include Murder, Manslaughter Or Sexual Assault). Documents offenses, except murder, manslaughter or sexual assault that occur on the university campus that violate state laws and regulations. This records series may contain, but is not limited to, case number, type of report, date, time, complainant or victim, address and details of report.	10	10	Retention based on Local Schedule PS - Retention Schedule for Records of Public Safety Agencies - as recommended by UT System Police Director's Office. NOTE: Cases not cleared by the conviction or acquittal of the person arrested or cited, by the dismissal of charges against the person, or by the entry on the record of a court by a prosecuting attorney of a nolle prosequi should be kept until the statute of limitations runs out.
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Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives	
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 206 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	329 UPO	Police Fingerprint Cards and Other Biometric Identifiers.	AC+1		AC+1	AC = purpose of identifier has ceased to exist (non-employees) or termination from UTHSCSA (employees). Retention based on recommendations from UT System to comply with HB 3186, 81st Legislature, Regular Session, 2009, amending Section 503.001, Business and Commerce Code.		
	330 UPO	Police Incident Reports. Non-criminal incidents the department investigates.	3		3	Retention based on Local Schedule PS - Retention Schedule for Records of Public Safety Agencies - as recommended by UT System Police Director's Office.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 207 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	331 UPO	Police Offense Reports - Felonies (Murder, Manslaughter Or Sexual Assault). Documents offenses of murder, manslaughter or sexual assault that occur on the university campus that violate state laws and regulations. This records series may contain, but is not limited to, case number, type of report, date, time, complainant or victim, address and details of report.	50		50	Retention based on Local Schedule PS - Retention Schedule for Records of Public Safety Agencies - as recommended by UT System Police Director's Office. NOTE: Cases not cleared by the conviction or acquittal of the person arrested or cited, by the dismissal of charges against the person, or by the entry on the record of a court by a prosecuting attorney of a nolle prosequi should be kept until the statute of limitations runs out.		
	480 UPO	Special Events Parking Information/Work Sheets.	3		3			
	490 UPO	Security/Safety Notices and Warnings.	AC+30 days		AC+30 days	AC = Date security problem corrected.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 208 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio								
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.	
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491 UPO Building Access Control Records - Employee. This series controls access to specific buildings, departments, rooms or areas. This series may include access lists, sign-in sheets, logs, registers, instruction books, emergency contact records, or records recording actions of police personnel in opening up university facilities for university personnel.

1 1

492 UPO Vehicle Assistance Records. Includes jumper cable service, unlocking doors, etc.

1 1

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 209 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
	516 UPO	Citations. Warnings.	AV		AV		Recommendations for Retention: Warnings (all types), paid citations, and citations for unknown owner (all types) - 3 years; Unpaid citations for those not affiliated with UTHSCSA - 5 years; Unpaid citations for persons affiliated with the UTHSCSA - AC+3, where AC = termination or graduation.		
	518 UPO	Traffic Citation Appeals.	AC+1		AC+1		AC = resolution of appeal.		
	520 UPO	Building Security Surveys. Periodic reports of surveys of component facilities conducted by the University Police and sent to departments. Reports are used by departments to update/enhance security measures for their facilities.	US+20		US+20				

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 210 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	612 UPO	Police Offense Reports - Misdemeanors. Documents misdemeanor offenses that occur on the university campus that violate state and/or local laws and regulations. This records series may contain, but is not limited to, case number, type of report, date, time, complainant or victim, address and details of report.	7		7			
	613 UPO	Personnel Background Information for Commissioned Police - Hired. Requests for, and results of, criminal and other background checks and information on employees. Original documents are forwarded to UT System.	AC+5		AC+5		AC = Termination of employment.	

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 211 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio								
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total	9. Remarks				

614 UPO Personnel Background Information for Commissioned Police - Not Hired. Requests for, and results of, criminal and other background checks and information on applicants.

3 3

615 UPO Personnel Background Information for Civilian Police - Hired. Requests for, and results of, criminal and other background checks and information on employees.

AC+5 AC+5 AC = Termination of employment.

616 UPO Personnel Background Information for Civilian Police - Not Hired. Requests for, and results of, criminal and other background checks and information on applicants.

3 3

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 212 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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617 UPO	Recordings of Police Communications and Actions. These records document calls for emergency assistance and/or recordings of radio communications and/or police activities including motor vehicle tape recordings (MVR).	AC		AC	AC = 90 days after the date of the incident for Class C misdemeanors. AC = 30 days after entry of judgment in case for offenses greater than Class C misdemeanors. CAUTION: Reuse or destroy only if not required to support known investigations or litigation. Retention based on Local Schedule PS - Retention Schedule for Records of Public Safety Agencies - as recommended by UT System Police Director's Office.
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 213 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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	618 UPO	Surveillance Video Tapes. Consists of surveillance video tapes created to monitor activities occurring within and outside of institutional buildings.	30 days		30 days	CAUTION: Reuse or destroy in 30 days only if not required to support known investigations or litigation. Retention based on Local Schedule PS - Retention Schedule for Records of Public Safety Agencies - as recommended by UT System Police Director's Office.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 214 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

619 UPO	Security Clearance Forms - Approved. Security checks for potential entrance into a secured environment and/or building. The checks may include a background and driver's license screening, reference check and verification of academic standing. Supporting documentation may include copy of the driver's license, copy of the transcript release form, returned form reference letters, and other necessary information, except fingerprint cards or other biometric identifiers.	2		2	SEE 6.1 # 329 for fingerprint cards and other biometric identifiers. Retention based on Local Schedule PS - Retention Schedule for Records of Public Safety Agencies - as recommended by UT System Police Director's Office.
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Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 215 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

620 UPO Security Clearance Forms - Denied. Security checks for potential entrance into a secured environment and/or building that have been denied. The checks may include a background and driver's license screening, reference check, and verification of academic standing. Supporting documentation may include fingerprint cards, copy of the driver's license, copy of the transcript release form, returned form reference letters, and other necessary information.

1 1

668 UPO Dispatch Reports. Reports created by dispatcher on each call for service showing date and time call received, nature of call, and details of action taken in response to call.

2 2

Retention based on Local Schedule PS - Retention Schedule for Records of Public Safety Agencies - as recommended by UT System Police Director's Office.

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 216 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
	669 UPO	DWI Video Tapes - Charges Not Filed. Video and audio tapes of persons detained for possible DWI violations when charges are not filed.	AC		AC	AC = 90 days after the date of the stop. Retention based on Local Schedule PS - Retention Schedule for Records of Public Safety Agencies - as recommended by UT System Police Director's Office.		
	670 UPO	DWI Video Tapes - Charges Filed. Video tapes of persons detained for possible DWI violations when charges are filed.	AC		AC	AC = 90 days after the date of the stop for Class C misdemeanors. AC = 30 days after entry of judgment in case for offenses greater than Class C misdemeanors. Retention based on Local Schedule PS - Retention Schedule for Records of Public Safety Agencies - as recommended by UT System Police Director's Office.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 217 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	671 UPO	Criminal History Master File. Records tracking inquires for the receipt of information, including criminal histories.	AV		AV			
						Retention based on Local Schedule PS - Retention Schedule for Records of Public Safety Agencies - as recommended by UT System Police Director's Office.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 218 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

690 UPO

Police Offense Reports - Juvenile. Documents offenses that occur on the university campus that violate state and/or local laws and regulations and involve juvenile offenders. This records series may contain, but is not limited to, case number, type of report, date, time, complainant or victim, address and details of report.

PM

PM

Records involve juveniles adjudicated for delinquent conduct (Class A or B misdemeanor or any felony). The record is a permanent record that is not destroyed or erased unless the record is eligible for sealing and the child or the child's family hires a lawyer to file a petition in court to have the record sealed. Records are generally confidential, but can be accessed by police, sheriff's officers, prosecutors, probation officers, correctional officers, and other criminal and juvenile justice officials in Texas and elsewhere. The record may be available to employers, educational institutions, licensing agencies, and other organizations when the person applies for employment or educational programs. NOTE: Texas has a records system that is

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 219 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

designed to limit access to juvenile records after the offender reaches 21 years of age if they do not commit criminal offenses after becoming 17 years of age. The system is called "Automatic Restriction of Access to Records," where records are not destroyed or sealed, remaining in place, but are under restricted access and available only to criminal justice agencies for criminal justice purposes, such as investigating and prosecuting crimes.

691 UPO | Police Incident Reports - Juvenile. Non-criminal incidents the department investigates that involve juveniles. | AC | AC

AC = Destroy immediately for non-referred cases. For referred cases, destroy when juvenile reaches the age of 18. Family Code 58.001(c).

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 220 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

Medical Services/Research and Development

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 221 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	130 OSP, DE	Grants Records - Grants which include clinical trials/drug studies. This records series consists of research data and documentation gathered or created in the course of a clinical trial. May include, but is not limited to, case history records, case reports, study protocol and amendments, patient care data, objectives and purpose of the study, selection criteria, clinical procedures, FDA forms, serious adverse events reports, study design and other documentation relating to study protocols, pharmaceutical studies, findings, research papers, and drug/device accountability reports (DAR).	AC+3		AC+3	AC = After completion and upon receipt of notice of new drug application approval for the indication being investigated or the date on which the study is completed, terminated, or discontinued if study does not result in submission of application for research or marketing permit. 21 CFR 312.57. Office of Sponsored Programs responsible for keeping contract information. Departments keep data and documentation. Includes both federal and non-federal grants and sponsored agreements except for financial records - SEE 4.7.008 # 388. Departments may keep text portions of grants as long as they are deemed administratively valuable.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 222 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	131 OSP	Grants, Federal and Other Federal Sponsored Agreements. May include, but is not limited to, award letter/notice, proposal, protocols, correspondence, equipment inventory (final), reports - including final report, debarment certifications, deposit requests, human subjects letters to NIH (National Institute of Health), joint appointment memorandums of understanding for faculty, NIH modular grant internal use documents, IRB (Institutional Review Board) clinical study or sponsored research agreements, Intergovernmental Personnel Act (IPA) agreements, other grant documents.	AC+5		AC+5	AC = Terms of Grant. CAUTION: Grants 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. Departments may keep text portions of grants as long as they are deemed administratively valuable.		
	199 LA	Certificate of Veterinary Inspection.	AC+3		AC+3	AC = Death of animal or transfer to another institution.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 223 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	200 LA	Disposition or Transport of Animals Forms. Includes APHIS (Animal, Plant and Health Inspection Services) Form 7020 and Laboratory Animal Resources form Request for Transfer of Experimental Animals.	AC+3		AC+3	AC = Death of animal or transfer to another institution.		
	201 LA	Patient Pet Records. Medical records for care of privately owned animals treated at the university, not research animals owned by the university.	AC+3		AC+3	AC = Death of patient or date of last visit.		
	202 LA	Research Animal Health Records. This records series documents care of university owned research animals. This series may include but not be limited to investigator, vendor, protocol, and location information.	AC+3		AC+3	AC = Death of animal or transfer to another institution.		
	203 LA	USDA Animal Tags.	AC+1		AC+1	AC = Death of animal or transfer to another institution.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 224 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	204 LA	USDA Inspection Reports.	3		3			
	205 LA	USDA Report of Acquisition.	AC+3		AC+3	AC = Death of animal or transfer to another institution.		
	370 RE	Disclosure Statements. Information provided by faculty on conflicts of interest or commitment that might impair objectivity when designing, conducting or reporting research or other scholarly activity. Also includes Conflict of Interest forms.	7		7	Disclosure Statements, other records, and information submitted by a Faculty Member will be maintained confidentially, except as specified by the UTHSCSA Handbook of Operating Procedures (HOP), policy 7.7.1. Retention period required by HOP 7.7.1.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 225 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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376 OSP

Grants, Non-Federal and Other Non-Federal Sponsored Agreements. May include, but is not limited to, award letter/notice, proposal, protocols, correspondence, equipment inventory (final), reports - including final report, etc.

AC+3

AC+3

AC = Terms of Grant. Includes Grants Management deposit requests, human subjects letters to NIH (National Institute of Health), IRB (Institutional Review Board) clinical study or sponsored research agreements, other grant documents. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with guidelines of grant or contract. Departments may keep text portions of grants as long as they are deemed administratively valuable.

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 226 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	377 OSP	Grants and Contract Proposals (Not Awarded). This records series consists of grants from federal and non-federal agencies and other sponsored grants and contracts that have been applied for but not awarded. Includes human subjects letters to NIH (National Institute of Health), joint appointment memorandums of understanding for faculty, NIH modular grant internal use documents, other grant documents.	AC+1		AC+1	AC = Date of notification of non-funding.		
	378 OSP	Cancelled Drug Studies. Includes Office of Sponsored Programs deposit requests, human subjects letters to NIH (National Institute of Health), joint appointment memorandums of understanding for faculty, IRB (Institutional Review Board) clinical study or sponsored research agreements, other grant documents.	AC+1		AC+1	AC = Date of cancellation.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 227 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks	106 No.	

433 IR, DE Human Research Protocols.

AC+6

AC+6

AC = Inactivation of protocol. IRB must keep Human Research Protocol files for 6 years after inactivation to satisfy HIPAA requirements. Departments and Committees should keep copies of the protocols they use as IRB does not receive all updates and does not supply copies to other departments. Departments should keep records as long as they keep the records for the associated grant. For investigational devices, the FDA and DHHS require that Investigators or sponsors shall maintain the records for AC+2 years, where AC = the latter of the following two dates: the date on which the investigation is terminated or completed, or the date that the records no longer are required for purposes of supporting a premarket approval application or

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 228 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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a notice of completion of a product development protocol.

540 DE Research Findings - Non-medical. AV AV

Records may be paper or electronic. CAUTION: For federally or privately funded grants or contracts, departments should check with the sponsoring agency as to the retention schedule if it is not written in the grant or contract. SEE #87 under Medical-Dental Patient Records for medical research.

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 229 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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643 DE		Applications for Internal Research Support Funds - Denied. A record of unawarded applications for faculty and student research support funds established within a School or department. May include applications for funding from all internal institutional grant programs, departmental research funds, etc. Records may include applications, proposals, correspondence, etc.	AC+5		AC+5	AC = After notification.		
688 OSP		Teaming Agreements (for participation in federal/non-federal proposal which may result in award).	AC		AC	AC = As long as grant or contract records involving agreement are kept.		
692 LA		Animal Cage Cards. Barcoded identification cards attached to animal cages when animals arrive in facility. Information on card is used to track animals and how long they are housed.	AC+1		AC+1	AC = Death of animal or transfer to another institution and card scanned out of barcode system.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 230 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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695 LA

Research Animal Room Maintenance Records. These records report the type of maintenance that takes place each day of the month in a particular room housing research animals, such as cleaning and disinfection; ventilation; changing feed, water, cages, air filters; daily health checks, etc.

5

5

Keep records at least 5 years for AALAC (American Association for Laboratory and Animal Care) accreditation purposes. May keep longer after that if needed.

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 231 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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Medical/Dental - Patient Records

87 DE	Medical Research Findings (excluding published works). Research Participant Records and other grant data.	AV	AV	Participant records are separate from the medical record. CAUTION: For federally or privately funded grants or contracts, departments should check with the sponsoring agency as to the retention schedule if it is not written in the grant or contract. SEE ALSO section on Medical Services/Research and Development for "Grants Records - Grants which include clinical trials/drug studies." (Agency Item Number 130).
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 232 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
111 DS		Patient Records - Dental. This records series consists of the current and complete dental record for every patient seeking care or service from dental clinics of the University of Texas Health Science Center at San Antonio.	AC+10		AC+10			
						AC = Date of patient's last visit; if a patient is younger than 18 years of age when the patient was last treated, disposition may take place on or after the date of the patient's 21st birthday or on or after the 10th anniversary of the date on which the patient was last treated, whichever date is later. Source: Tex. Bd. Of Dental Examiners, 22 Tex. Admin. Code, Section 108.8(b). Retention reflects UTHSCSA practice as Tex. Bd. of Dental Examiners only requires AC+5 year retention. NOTE: Shadow files (copies) of patient records must be retained only for the duration necessary to assist the health care professional in tracking and providing care to the patient and should not be held any longer than the original record. HOP policy 11.1.5.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 233 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 234 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	335 CL	Patient Records. This records series consists of original patient care documents for every patient seeking care or service from the medical clinics of the University Of Texas Health Science Center at San Antonio. The record may include, but is not limited to, the following examples: Deficiency Sheet, Data Sheet, Record of Sensitivity, Physician Orders, History and Physical documents; Surgical records; Progress Notes; Consultation Reports; Laboratory and ancillary reports; X-ray interpretation records; interpretations of the EEG, EKG and fetal heart monitor tracings; Nurses Notes; Consent Forms and Authorizations; Protocols and Proposals; and Advance Directives, for example, Medical Power of Attorney, Directive to Physicians Out of Hospital.	AC+10		AC+10	AC = date on which the patient who is the subject of the record was last treated; if a patient is younger than 18 years of age when the patient was last treated, disposition may take place on or after the date of the patient's 21st birthday or on or after the 10th anniversary of the date on which the patient was last treated, whichever date is later. Health and Safety Code 241.103, Preservation of Records; Title 22, Texas Administrative Code, Section 165.1, Medical Records; and Texas Government Code Section 441.187, Destruction of Records. Retention reflects UTHSCSA practice. NOTE: Shadow files (copies) of patient records must be retained only for the duration necessary to assist professional in tracking and providing care to the patient and		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 235 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

should not be held any longer than the original record. HOP policy 11.1.5. SEE ALSO: Patient Records - Psychological (number 486) and Patient Records - Dental (number 111) and Patient Records - CTRC (number 685) in this section and Medical Records - Student (number 289 in Student Records section).

411 DE Consulting Records. Background information, prepared documents used in support of consulting services provided by faculty for MSRDP, DSRDP. AV AV

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 236 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks	106 No.	

467 DE

Consent Forms for Research - Adults.
A record of permission supplied by adult subjects to participate in a research program.

AC+10

AC+10

AC = last contact with subject.
CAUTION: For privately funded grants or contracts, departments should check with the sponsoring agency as to the retention schedule if it is not written in the grant or contract. SEE ALSO # 130 in Medical Services/Research and Development section for "Grants Records - Grants which include clinical trials/drug studies."

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 237 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	468 DE	Consent Forms for Research - Minors. A record of permission granted by parent or guardian for children to participate in a research program.	AC+10		AC+10	AC = last contact with subject. For pediatric patients, keep AC+10 or until age 21, whichever is longer. CAUTION: For federally or privately funded grants or contracts, departments should check with the sponsoring agency as to the retention schedule if it is not written in the grant or contract. SEE ALSO # 130 in Medical Services/Research and Development section for "Grants Records - Grants which include clinical trials/drug studies."		

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 238 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	486 CL	Patient Records - Psychological (Client Counseling Records). This series documents all clients, except UTHSCSA students, who are provided counseling, psychological, and psychiatric services. Records may include: test data; extensive notes made by providers concerning the assessment, diagnosis, treatment and contacts (written, telephone, or in person) with each client; referral letters; release of information agreements; letters to agencies or others concerning the clients; and related documentation.	AC+10		AC+10	AC = No Client Contact For Three (3) Months or Formal Termination; if a patient is younger than 18 years of age when the patient was last treated, disposition may take place on or after the date of the patient's 21st birthday or on or after the 10th anniversary of the date on which the patient was last treated, whichever date is later. Meets the Requirements of the Texas State Board of Examiners of Psychologists Rules And Regulations. 22 Tex. Admin. Code Part 21, Section 465.22d. NOTE: Shadow files (copies) of patient records must be retained only for the duration necessary to assist the health care professional in tracking and providing care to the patient and should not be held any longer than the original record. HOP policy		

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 239 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

11.1.5. SEE record # 666 in the Student Records section for student records.

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives	O – Review by University Archives		
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded				



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 240 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	496 CL, DS	Disclosure of Protected Health Information. This records series documents disclosure of Protected Health Information (PHI) in accordance with the Health Information Portability and Accountability Act (HIPAA) compliance regulations. May include the following forms: Restriction Request Form, Request for Confidential Communications Regarding Medical Information, Request for Accounting of Disclosures, Accounting of Disclosures of Protected Health Information, other HIPAA forms.	FE+6		FE+6			
						NOTE: HIPAA regulations require forms be kept for current fiscal year plus six years. However, this record series may be kept in the patient record and discarded when that record is discarded. SEE records # 111, 335, and 486 under Medical/Dental - Patient Records and # 289 in Student Records section. All university clinics may have these records. Confidentiality/Security Acknowledgement forms signed by agency employees are filed in Individual Personnel Files kept by departments (3.1 - Agency Item Numbers 81 & 83) and discarded when those records are disposed of.		

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



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 241 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	507 DE	Clinical Laboratory Records and Materials. Includes materials such as wet tissue, paraffin blocks, slides, whole or dried blood, frozen tissue, serum/CSF/body fluids, donor and recipient records, gross photographs, reports, etc., for surgical pathology, cytology, nonforensic autopsy records, forensic autopsy records, clinical pathology records, cytogenetics records, blood bank, general laboratory and other diagnostic tests.	AV		AV		No records will be destroyed in the time shorter than required by regulation. The College of American Pathologists recommends that most laboratory records and materials be retained for 5 to 10 years at the minimum with records retained for a longer period of time when such would be appropriate for patient care, education or quality improvement needs. SEE the College of American Pathologists website at http://www.cap.org , for specific recommendations on retention of various materials and records. (Search site for records retention.) SEE ALSO # 627 under Medical/Dental - Patient Records section for reports kept in the patient record. NOTE: Donor and recipient records for bodies, organs, and other body parts fall under 8.1 # 625	

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 242 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

(Donor Records -Medical) and are kept permanently.

510	CL, DS	Patient Needs Risk Assessment (Screening Forms).	1		1		Forms for patients that are accepted as a teaching case. Otherwise, forms go into the patient record and are retained for that length of time.		
511	DE	Orthodontic Models. Dental Casts.	AC+10		AC+10		AC = Completion of treatment.		
512	CL, DS	Consent for Photography.	US		US		May be filed with patient medical record or with Consent Form for Research, as appropriate.		
513	CL, DS	Patient Authorization for Release of Health Records.	US		US		May be filed with patient medical record or Consent Form for Research, as appropriate.		

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



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 243 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	622 CL, DS	Medical Logs. Medical logs in this record series may include, but are not limited to, Patient Check In, Admission, Transport, Dispatch, Census, Discharge, Patient Photo, Patient Service, Expired Drug Disposal.	3		3			

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 244 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

623 CL,
DS

Laboratory Test Requests. This records series consists of all requisitions authorizing a laboratory to perform tests on a sample. These requisitions may include the patient's name or identification number, the name or identifier of who ordered the test, the date and time of the specimen collection, the source of the specimen, the patient's gender and age or date of birth, physician's signature, and pertinent clinical information. Test results received from external reference labs may be included.

AC+10

AC+10

AC = Date of patient's last visit; if a patient is younger than 18 years of age when the patient was last treated, disposition may take place on or after the date of the patient's 21st birthday or on or after the 10th anniversary of the date on which the patient was last treated, whichever date is later. Usually filed with patient records in section Medical/Dental Patient records and kept as long as that record is retained.

Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives	
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 245 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	624 CL, DS	Pharmacy Prescription Dispensation Records. This series is used to provide an individual, daily summary, and annual summary record of initial drug dispensation and refills administered by the department as required by the Texas State Pharmacy Board. Records may include, but are not limited to, prescription slips; in-house computer-generated Rx registers; controlled substance reports; and data base purge reports.	AC		AC			
	625 DE	Donor Records - Medical. Completed bequeathal forms and cadaver information for people who have donated their bodies or organs or other body parts to the university.	PM		PM			

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 246 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

626 CL, DS, DE	Training & License Records - Medical. Credentials, licenses, certifications, registrations, and permits for medical staff providing patient care, consulting services, and home health including formal training, on the job education, and continuing educational credits.	AC+5, AV	AC+5, AV	AC = After separation or termination of employment. Records should be kept at least 5 years after separation. They may then be kept as long as needed. NOTE: Most UTHSCSA departments keep these in the individual personnel files for faculty and residents/fellows and other medical personnel. SEE: 3.1 #389 (faculty) and 3.1 #527 (residents/fellows). However, MSRDP files them separately.
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Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives	
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 247 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

627 CL, DS

Final Test Reports - Cytopathology. This records series consists of the legally reproduced copies of each test result and preliminary reports on pathology testing that are filed in the patient medical record. This series is specific to pathology, histology, and cytology records.

AC+10

AC+10

AC = Date of patient's last visit; if a patient is younger than 18 years of age when the patient was last treated, disposition may take place on or after the date of the patient's 21st birthday or on or after the 10th anniversary of the date on which the patient was last treated, whichever date is later. Records are filed in the patient record and kept as long as that record is retained. SEE ALSO #507 (Clinical Laboratory Records and Materials) under Medical/Dental - Patient Records for records kept by the pathology lab.

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 248 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

629 CL	Requests for Blood Component and Lab Tests. This series documents physician orders for laboratory tests in order to obtain blood components. It may include, but is not limited to, name of patient, date, physician's signature, test(s) ordered and results, transfusion reactions, anti-body workups, and cord blood testing.	AC+10	AC+10	AC = Date of patient's last visit; if a patient is younger than 18 years of age when the patient was last treated, disposition may take place on or after the date of the patient's 21st birthday or on or after the 10th anniversary of the date on which the patient was last treated, whichever date is later. UTHSCSA usually files these records as part of the patient record. SEE patient records #111, 335, and 486 under Medical/Dental - Patient Records and # 289 in Student Records section.
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Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives	
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 249 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	630 CL, DS	Source Data - Medical. This records series includes health information stored in any original media. Examples of Source Data include, but are not limited to, paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The patient medical record must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the patient record.	AC+10		AC+10	AC = Date of patient's last visit; if a patient is younger than 18 years of age when the patient was last treated, disposition may take place on or after the date of the patient's 21st birthday or on or after the 10th anniversary of the date on which the patient was last treated, whichever date is later.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 250 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	632 CL, DS, DE	Health Assessment. This series documents provision of health-related services, for example: cholesterol screening, blood pressure testing, etc. This series may include, but is not limited to, tests, goals and objectives, diagnostic reports, questionnaires, permission to forward the information to the patient's primary care physician, and related data.	5		5			
	633 CL, DS	Drug Recall Notices. Food and Drug Administration (FDA) and manufacturer recalls on drugs. This records series may include but not be limited to, reportable occurrences of drug use, recalls through the manufacturer and responses by departments.	5		5			

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 251 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

636 PC

Poison Center Case Sheets. Record of calls made to the Poison Control Center documenting individual poisoning or suspected poisoning incidents. Information may include date/time called, location of call, case number, name of individual, ingestion, treatment and medical outcome.

AC+21

AC+21

AC = date of incident. Records primarily involve pediatric patients of very young age. Volume of records precludes searching old records for age at time of incident, so 1 month of age is assumed and records kept for 21 years to fulfill retention requirements of Health and Safety Code 241.103, Preservation of Records; Title 22, Texas Administrative Code, Section 165.1, Medical Records; and Texas Government Code Section 441.187, Destruction of Records. NOTE: Since 2001 electronic charts & call recordings are held in the state of Texas (CSEC, Commission on State Emergency Communications) central database in Temple, TX. These databases are CSEC property, so UTHSCSA rules will not apply.

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 252 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

677 CL	Referral Letters and Records for Patients Never Seen at UTHSCSA Clinics. Includes all correspondence and medical records.	1		1				
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Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value	I – Retain in University Archives O – Review by University Archives
CE – Calendar Year End FE – Fiscal Year End <input type="checkbox"/>	PM – Permanent US – Until Superseded
LA – Life of Asset MO – Months	



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 253 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

681 DE	Resident Physician Evaluations/Procedure Logs – Final Summative. The final summative evaluation is prepared by the program director at the end of the training program, and addresses the resident's performance during the final period of education and should verify that the resident has demonstrated sufficient professional ability to practice competently and independently in that specialty. Evaluation is based on previous evaluations completed by attending physicians, peer physicians, supervising physicians, residents, or medical students. Includes evaluative comments regarding clinical knowledge, skills, interpersonal relationships, and personal/professional characteristics. Records also include procedure logs to assure accreditation process for	75		75	Records are confidential unless permission is given by trainee. May be filed with Individual personnel File for Residents/Fellows (SEE: 3.1 # 527 & 699). GME Policy 2.1.19.
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Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 254 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

future hospital privileges.

682 DE

Resident Physician Evaluations/Procedure Logs - Formative. Created during the periods of training. Evaluations are completed by attending physicians, peer physicians, supervising physicians, residents, or medical students. Includes evaluative comments regarding clinical knowledge, skills, interpersonal relationships, and personal/professional characteristics.

AC

AC

AC = End of training. Records are confidential unless permission is given by trainee. GME Policy 2.1.19.

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 255 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	685 CL	Patient Records - CTRC (Cancer Therapy & Research Center). This records series consists of original patient care documents for every patient seeking care or service from the CTRC of the University of Texas Health Science Center at San Antonio. May include, but is not limited to, the following examples: Deficiency Sheet, Data Sheet, Record of Sensitivity, Physician Orders, History and Physical documents; Surgical records; Progress Notes; Consultation Reports; Laboratory and ancillary reports; X-ray interpretation records; interpretations of the EEG, EKG and fetal heart monitor tracings; Nurses Notes; Consent Forms and Authorizations; Protocols and Proposals; and Advance Directives, for example, Medical Power of Attorney, Directive to Physicians Out	AC+10		AC+10	AC = Patient has expired. Retention reflects UTHSCSA practice as only required to keep non-hospital medical patient records for AC+7. NOTE: Shadow files (copies) of patient records must be retained only for the duration necessary to assist the health care professional in tracking and providing care to the patient or for research study purposes and should not be held any longer than administratively valuable. HOP policy 11.1.5. SEE ALSO: Patient Records (number 335), Patient Records - psychological (number 486) and patient Records - Dental (number 111) in this section and Medical Records - Student (number 289 in Student Records section).		

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 256 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

of Hospital.

687 DE

Morbidity & Mortality (M&M) Records for Residency Programs. This record series includes peer-reviews of clinical operations.

AV

AV

A 3 year retention period is recommended by Clinical Affairs and GME (Graduate Medical Education).

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 257 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

Patient Billing

336 CL, DS	Payment Waivers/Adjustments. Patient billing accounts that have been written off. Records may include, but are not limited to, payment waivers for prescriptions and co-pays, teaching case waivers, insurance explanation of benefits (EOB).	1	1	Dental School and clinics use these records as paper backup to electronic billing records systems (SEE Agency Item Number 338 under Patient Billing).
338 CL, DS	Billing Records - Medical. Provides itemized billing record for medical services rendered.	7	7	Dental School clinics, including the Dental Service Research and Development Plan (DSRDP) and Dental Outpatient Clinic, use the Clinical Information System (CIS) to track patient billings (charges, adjustments, insurance, payments). MSRDP and UT Medicine use the EPIC system.

Retention Codes (Field 7)				Archival Codes (Field 8)	
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 258 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	339 CL, DS	Charge Documents - Encounter Forms. This series consists of documents submitted by the university for the purpose of billing patients' insurance companies and agencies.	7		7			
	509 CL, DS	Clinic Reports. Records include, but are not limited to, Monthly Distribution Report, Credit Balance Report, Aging Analysis Report, Automatic Collection Report, and all other reports generated by clinics.	FE+3		FE+3			
	634 CL, DS	Refunds - Patient/3rd Party. Requests for refunds with supporting documentation. May include patient information.	AC+2		AC+2			

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 259 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	635 CL, DS	Claims - Patient/3rd Party. Requested payment for patient 3rd party claims with supporting documentation. May include patient information.	AC+2		AC+2	AC = After closed. These records as used as paper backup to electronic billing records system (SEE Agency Item Number 338 under Patient Billing).		

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 260 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

Student Records

253 FSP	Class Schedules - Institutional (room assignments).	AC+1	AC+1	AC = end of academic year. Records are kept electronically in the R25 database.
68 DN, RG	Program and Course Development Records. This records series documents the development, approval, and the implementation of undergraduate, graduate, and professional degree programs and any other reorganizations or changes to established programs. This may include, but is not limited to, working papers, final reports, related course descriptions, outlines, sample examinations, textbook lists, etc.	PM	PM	Formerly called Degree Proposals. Retention reflects UTHSCSA practice. The Registrar's Office retains the original copies of Request for New Course and Request for Change in Existing Course forms.

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 261 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio								
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total	9. Remarks				
	252 RG	Class Lists. This series provides instructional units with an official record of students enrolled in courses taught. The series is used to cross-check students who have enrolled against those who have registered as well as in the generation of statistical reports. Information in the series includes: student names; social security numbers; university identification numbers; term; and enrollment/registration status.	PM		PM	I	Converted to electronic Spring 2001. Before Spring 2001 microfilmed.			

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 262 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

255 AFS, RG	Commencement Records. This series documents commencement program planning and implementation at the institution. Records may include, but are not limited to, commencement attendance forms, planning records created by commencement committees or other planning groups, and related documentation and correspondence. Also includes commencement programs, graduation lists, and official photographs and recordings.	PM, 6	PM, 6	I	Graduation lists may be exempt from public disclosure. The Registrar's Office, the Office of Student Life, and departments have records from this series. ARCHIVAL NOTE: Commencement programs, graduation lists, and official photographs and recordings should be sent to the University Archives for preservation. Committee minutes and correspondence may be discarded after 6 years, similar to other committee minutes. SEE 1.1 # 575.
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Retention Codes (Field 7)				Archival Codes (Field 8)	
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 263 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	260 DE	Course Contents/Syllabi. Formerly called Course Material. This record series contains faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	AV		AV			
						CAUTION: Departments should check with their accrediting agency to determine retention requirements for accreditation. Actual student exams, i.e., those filled out by students, fall under Test Questions and Examinations, # 369 in Student Records section, not this record series. SEE record for Course Evaluations (# 661) under Student Records for evaluations of instructor and evaluation of programs by student.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 264 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

265 RG

Student Statistical Reports. This series documents student status and enrollment at the institution. Records may include: specialized listings and statistical reports pertaining to departmental and college registration, course changes, add/drops, geographical distribution of students, student age and gender data, mortality of classes, student transfers from other schools, student body grade point averages and GPAs of living groups, and veterans enrollment; reports documenting student and enrollment by term; and reports on other topics.

AV

AV

I

Formerly called Degree Statistics. Replaces records for Degree, Enrollment, Grade, and Racial/Ethnic statistics.

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 265 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	267 DN	Disciplinary Action Documents (separate confidential record) Depending on Penalty Assessed. This series documents academic dishonesty and conduct violations among students. Records may include, but are not limited to, incidents reports; final reports; evidence; notification of allegation; timely notice forms; conduct-pending, conduct-restitution, and suspension lists; quarterly security reports; disciplinary reports; informal discussion notes; formal hearing notes; final summary statements; decision statements; appeals documentation; and related documentation and correspondence.	AC+5/ PM		AC+5/ PM	AC = After graduation or date of last attendance. SEE Regents' Rules and Regulations Part One, Chapter VI, Section 3.8. Retention depends on nature of penalty assessed. Penalties of suspension, expulsion, denial or revocation of degree, and/or withdrawal of diploma are retained permanently.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 266 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

274 RG

Family Educational Rights and Privacy Act (FERPA) Documents. This series documents the process of student information release requests and consent authorizations or denials in accordance with the Family Educational Rights and Privacy Act. Records may include, but are not limited to, requests for nondisclosure of directory information; requests for release of personally identifiable information; records of disclosures made to third parties; requests for formal hearings; student statements regarding hearing panel decisions; written decisions of the hearing panel; written consent of the student to disclose records; waivers for rights of access; and related documentation and correspondence.

AC+1

AC+1

AC = Life of the affected record or until student terminates waiver for written consent of the student to disclose records and waivers for rights of access.

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 267 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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	275 AFS	Financial Aid Assistance Records.	AC+5		AC+5	AC = date of student's last day of attendance or graduation or use of records in a federal audit, whichever is later. Records are held in the Student Financial Aid Office.		
	280 RG	Grade Reports. The series documents grades received by students for the term. Includes: course numbers and titles; grades awarded; grade point average; student name; and social security number.	AC+1		AC+1	AC = Graduation date or last date of attendance. This information is electronically retained in the student information system. Information may be exempt from public disclosure.		
	282 RG	Graduation Authorizations.	AC+1		AC+1	AC = Graduation or date of last attendance.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 268 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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	286 RG	Transcript Hold or Encumbering Authorization Forms. This series documents holds on transcripts and academic reporting information placed by the institution for a number of reasons. This series consists of forms authorizing the holding of academic records and information until a specific action is taken by the subject of the academic record.	AC		AC	AC = Release of the hold authorization.		
	289 CL	Medical Records - Student. Medical records created while the student is attending the institution or submitted as part of the student application.	AC+10		AC+10	AC = Graduation or date of last attendance. SEE ALSO # 666 under 9.1 section for psychological or psychiatric records for students.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 269 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	290 RG	Name Change Records. This series documents applicant/student name changes reported to the admission's/registrar's office by applicants/students. Records may include, but are not limited to, letters requesting change in name; name changes forms; lists or reports of students with changed names; and related documentation and correspondence.	75		75	Retention reflects UTHSCSA practice.		
	303 RG	Residency Classification Forms. This series documents declarations filed by students regarding state residency status which is critical for determining tuition status. Records may include, but are not limited to, affidavits; correspondence regarding residency; and related documentation.	75		75	Retention reflects UTHSCSA practice.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.
 1. Page 270 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
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310 RG | Transcript Request Forms. This series provides a record of students' requests for transcripts to be sent to other institutions. Information on the individual form includes: student's present name and other name(s) under which the student attended; social security number; home address; phone number; student signature; number of copies of transcript requested; fee status; whether official or unofficial transcripts are desired; date of request; and destination(s) of transcript(s). | AC+1 | AC+1 | AC = Request fulfilled.

312 BU | Tuition and Fee Charges. | AC+5 | AC+5 | AC = Graduation or date of last attendance.

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 271 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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	313 AFS	Veterans Records. This series documents the entitlement status and enrollment of veterans in the institution. Records include, but are not limited to, State Veterans Affairs forms that certifies resident veterans educational benefits entitlements (Hazelwood Act); individual veteran student records that certify to the U.S. Department of Veterans Affairs that the student is eligible for educational benefits, is currently enrolled at the institution in a qualifying curriculum, and is maintaining standards required to receive entitlements; veterans attendance reports; and related forms, documentation and correspondence.	AC+3, 75		AC+3, 75		AC = Termination of enrollment period. Hazelwood Act documentation will be retained for 75 years as a portion of the veteran's student records file. Records are held by the Student Financial Aid Office.	

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 272 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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	369 DE	Test Questions and Examinations. Records may include, but are not limited to, examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC+5		AC+5	AC = After end of affected semester. Exams may be paper or electronic. Retention recommended as follows: 1) Student scantrons and 1 copy of accompanying test - 5 years 2) Essays - 5 years 3) Test with notes written on it by student - until end of semester as student may contest test scores. 4) Electronically administered tests (online) - record of each student's answers and 1 list of questions - 5 years. Master copies of course exams may additionally be kept with the record series Course Content/Syllabi, # 260 in this section.		1

Retention Codes (Field 7)				Archival Codes (Field 8)	
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 273 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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384 DE	Postdoctoral Training Records.	10		10	Departments should keep track of postdoctoral training students as Registrar only records grades and attendance for officially registered students of the UTHSCSA. Records may be filed in personnel file for Residents/Fellows and kept longer than 10 years for certification purposes.
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 274 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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	385 DN, DE	Continuing Medical Education (CME), Continuing Dental Education (CDE), Continuing Nursing Education (CNE) Class Records.	6		6		Departments should keep records on attendance at continuing education courses as Registrar only records grades and attendance for officially registered students of the UTHSCSA. CME, CNE Attendance records are kept on computer indefinitely; paper files for 6 years. The Accreditation Council for Continuing Medical Education (ACCME) requires records be keep on file for a minimum of 6 years.	

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 275 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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	410 DE	Student Rotations Documents. Includes schedules, information packets, tests, evaluations, applications (for foreign and visiting US students).	AC+5		AC+5	AC = graduation from UTHSCSA. These records may be filed as part of the student individual personnel file. (SEE # 544 under Student Records.) NOTE: Registrar permanently keeps evaluations and grade sheets for UTHSCSA students taking rotations as coursework. Departments should send narrative evaluations to them. SEE records 665 and 674 under Student Records.		2
	440 DI	Pharm D Student Records. Includes rotations in Drug Information Service, assignments to clinical rotation sites, rotation evaluations.	FE+5		FE+5			1

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 276 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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	446 AFS, DN	Student Grievance Records. Appeals to VP for Academic, Faculty & Student Affairs or Deans for academically related grievances. This series documents grievances brought forward by students against the institution which do not result in litigation. Grievances may pertain to academic issues; housing; affirmative action and equal opportunity; student conduct; and other issues. Records include: notices of grievance; informal discussion notes; grievance responses; formal hearing notes (including audio tapes); final summary statements; settlement agreements; appeals documentation; and related records.	75, AC+10		75, AC+10		Deans are responsible for keeping grade appeals for AC+10, where AC = student graduates, transfers to another program, or permanently leaves program.	
	463 DE	Student Travel Information and Release Forms.	AC+1		AC+1		AC = Travel completed.	

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 277 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	464 DN, DE, UPO	Student Travel Authorizations.	AC+1		AC+1	AC = Travel completed.		
	479 DE	Continuing Education Class Records Other than Medical, Dental, or Nursing.	5		5	Departments should keep records on attendance at continuing education courses as Registrar only records grades and attendance for officially registered students of the UTHSCSA.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	O – Review by University Archives			



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 278 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

487 DN, DE

Internship Program Records. This series is used to provide a record of the administration of student internship, practicum and cooperative education programs, including student records for summer programs for non-UTHSCSA students. Also externships and other short training programs not tracked by Registrar for both UTHSCSA and non-UTHSCSA Students. Programs may be within the institution or off campus and for class credit and/or pay. Records may include, but are not limited to, applications for internships inside and external to the institution; agreements with departments; postings/notices; student resumes; transcripts; copies of contracts; proposed institution listings; notes; and related documentation and correspondence.

FE+1, AV

FE+1, AV

Applications for students not admitted to programs are kept for FE+1. Records for students admitted to programs are kept as long as they are valuable for credentialing purposes. Financial records for payment of student expenses should be kept FE+3 for auditing purposes or 6 years after end of grant if paid by a federal grant.

Retention Codes (Field 7)				Archival Codes (Field 8)	
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 279 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	488 DE	Student Dental Procedures Records. Includes student grading information on dental procedures and patient treatment information needed to evaluate student.	AC+5		AC+5	AC = Date of patient's last visit. If the patient was less than 18 years of age when last treated, the patient's 16th birthday (so the record is kept at least until the patient's 21st birthday) or the date that the patient was last treated, whichever date is later. 22 TAC 108.8(b)		
	517 DN	Dean's List.	5		5			
	526 DN	Background Checks - Student. These records are a seven point security check done by an outside service. They include, but are not limited to, criminal activity, SSN history, residence history, and the Patriot Act.	AC		AC	AC = Graduation from UTHSCSA or date of last attendance. These are not criminal history checks from the DPS.		
	541 DE	Student Dental Achievement Records.	AC+5		AC+5	AC = Graduation from UTHSCSA or date of last attendance.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 280 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	544 DE	Individual Departmental Personnel File - Students. May include copies of application materials, advising records, licenses, certifications, training certificates, training permits, evaluations and performance appraisals, disciplinary records, boards records, clinical experiences, leave records, correspondence re: licensure or boards, and anything of value in responding to requests for credentialing, verification, or employment.	AC+5, AV		AC+5, AV	AC = Graduation from UTHSCSA or date of last attendance. All documents should be kept for 5 years after separation from UTHSCSA. Documents needed in verification, credentialing, or employment may then be kept for as long as they are deemed administratively valuable. NOTE: Registrar permanently keeps evaluations and grade sheets for UTHSCSA students taking rotations as coursework. Departments should send narrative evaluations to them. SEE records 665 and 674 under Student Records.		
	646 RG	Honors/Awards. This records series provides a historical record of any academic honors and/or awards given to students.	75		75			

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 281 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
	647 RG	Independent Study Records. Documents departmental approval for students to enroll in independent study courses. Records may include, but are not limited to, permission sheets with students' names; course names; number of credits; and faculty signatures.	AC+1		AC+1	AC = Graduation date or date of last attendance.		
	648 DE	Instructors' Grade Records. This series documents test scores, class work scores, and final grades for students, which may be used as back up to the official academic records held by Registrar. Records may include, but are not limited to, instructors' grade books; grade confirmation reports; grade confirmation and change records; and final grade rosters.	2		2			

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 282 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	649 AFS	Liability Insurance - Policy and Information. Liability insurance policies for students. Records may include but not be limited to: list of students that have been charged the liability premiums; documentation stating that students are covered by the blanket liability policies; related documentation and correspondence.	AV		AV	The Student Life office handles liability insurance policies for students.		
	650 DN, DE	Scholarship Applications - Not Awarded. A record of students who have applied for departmental scholarships and who have not been awarded scholarship funds.	AC+1		AC+1	AC = After completion of application process.		
	651 DN, DE	National Board Test Scores. Test scores for students given by national boards. Records may also contain test scores from state or local board certifying agencies.	50		50			

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 283 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio								
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total	9. Remarks				
	652 CDO, DE	Scholarship Reports. This series is used as a historical reference on the recipients of scholarships in schools or departments. These records may include: information regarding names of recipients; when they received the scholarships; names of scholarships; dollar value of scholarships; years recipients entered and graduated; criteria for selection of recipients; and related correspondence and documentation.	PM		PM	I	Security is open with restrictions.			

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 284 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio								
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total	9. Remarks				

654 OIS	<p>International Student Records - Non-Matriculantes. This series documents institution assistance to international students who have failed to enroll in academic programs. These records primarily concern institution admissions, immigration issues, and other non-academic matters. Records may include, but are not limited to, copies of visa; scholarship information; institution admissions forms; graduate school applications; transcripts of previous college work; grade reports of prior college work; international student advisors' notes; degree completion certificates; explanations for student withdrawals; and related documentation and correspondence.</p>	AC+1	AC+1	AC = After failure to enroll.
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AV – Administrative Value	FE – Fiscal Year End <input type="checkbox"/>	MO – Months	US – Until Superseded		



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.
 1. Page 285 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

655 DE		Special Academic Programs Student Records - Enrolled. This series documents and tracks the application, admission, selection, and progress of institution students participating in special academic programs serving, guiding, and aiding institution students. This series consists of the individual files for students participating in special institution programs which provide services ranging from tutoring to tuition waiver assistance. Programs may include, but are not limited to, non-traditional student programs; peer advising; tutoring, Hispanic Centers of Excellence programs, and other special academic programs. Records may include, but are not limited to, application documentation; personal information; medical and health documentation; admission and non-	7		7	Portions of these records may be exempt from public disclosure.		
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 286 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

acceptance documentation; recommendations and evaluative materials; copies of academic records; advising notes and documentation; risk release and insurance forms; immigration and citizenship documentation; financial responsibility records; reports; and related documentation and correspondence.

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.
 1. Page 287 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

656 DE Special Academic Programs Student Records - Not Enrolled. This series documents and tracks the application, admission, selection, and progress of institution students participating in special academic programs serving, guiding, and aiding institution students. This series consists of the individual files for students participating in special institution programs which provide services ranging from tutoring to tuition waiver assistance. Programs may include, but are not limited to, non-traditional student programs; peer advising; tutoring, Hispanic Centers of Excellence programs, and other special academic programs. Records may include, but are not limited to, application documentation; personal information; medical and health documentation; admission and non-

2 2

Portions of these records may be exempt from public disclosure.

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 288 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

acceptance documentation; recommendations and evaluative materials; copies of academic records; counseling and advising notes and documentation; risk release and insurance forms; immigration and citizenship documentation; financial responsibility records; reports; and related documentation and correspondence.

657 RG

Applications for Visiting Students. A record of students who are pursuing a degree from another institution but who take some university courses or do a clerkship or research studies at the university.

AC+1

AC+1

AC = End of semester in which work is completed. The Registrar's Office only retains visiting student applications. SEE # 487 Internship Program Records under the section 9.1 for other records for visiting students.

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 289 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	658 RG, DE	Thesis and Dissertation Records. This series documents the completion and academic acceptance of graduate theses and dissertations presented to colleges in fulfillment of requirements for graduate degrees. Includes final and accepted copies of theses and dissertations.	75		75	I		

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.
 1. Page 290 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

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

659	AFS	Student Organization Administrative Records. This series documents the history, development, and policies of campus student organizations. Records may include, but are not limited to, annual review forms; minutes; constitutions and bylaws; committee, subcommittee, and task force records; Student Senate bill and resolution files; budgets; handbooks; officer and member rosters; scrapbooks; photographs; and related documentation and correspondence.	AC		AC	O	AC = Life of the organization. Records are kept in the Student Life Office.		
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 291 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

661 DE

Course Evaluations. This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.

AV

AV

CAUTION: Departments should check with their accrediting agency to determine retention requirements for accreditation. NOTE: If evaluations are used in faculty performance appraisals, retention must be at least 2 years per 29 CFR 1620.32(c).

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 292 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

662 RG	Admissions Records - Matriculates. This series documents the application process for individuals seeking admission to the institution. Records may include, but are not limited to, admission applications; academic transcripts from other institutions; test scores; letters of admittance; and related documentation and correspondence.	75, AC	75, AC	AC = After enrollment. Certain admissions-related documentation will NOT be retained for 75 years but will be disposed of after enrollment. These documents, may include, but are not limited to, Documentation of Experience Forms, Interview Rating Forms, Personal Statements, Publications, Recommendation Letters, Recruitment Materials, Resumes, and Waivers for Rights of Access to Recommendation Letters.
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 293 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	663 RG	Admissions Records - Non-Matriculantes. This series documents the application process for individuals seeking admission to the institution. Records may include, but are not limited to, academic transcripts from other institutions and test scores.	AC+1		AC+1	AC = After application term. Federal legislation or statutes may dictate a longer retention period. The federal legislation which governs these records is as follows: Veterans Administration regulations require that all recruitment materials be retained 3 years.		
	664 RG	Admissions Report. This series provides summary information relating to student admission programs which may be used for control, planning or review.	AV		AV			

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



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 294 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

665 RG	Academic Transcripts. A record of the academic history of a student in terms of the courses taken, grades, and degrees received.	PM	PM	Includes grade forms - changes (update documents); transfer credit evaluations; academic action authorizations, dismissal, etc.; academic records - narrative evaluations, competency assessments, etc.; course audit authorizations - student records; credit by examination forms; credit/no credit approvals; curriculum change authorizations; degree audit requirements; pass/fail requests; withdrawal authorizations.
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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 295 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	666 CL	Counseling, Psychological, and Psychiatric Case Records - Students. This series documents all clients who are provided counseling, psychological, and psychiatric services by the institution's student counseling center. Clinicians provide treatment concerning personal problems, academic concerns, and career concerns. The psychiatric consultant provides psychiatric care to some student clients. Records may include: extensive notes made by providers concerning the assessment, diagnosis, treatment and contacts (written, telephone, or in person) with each client; referral letters; release of information agreements; letters to agencies or others concerning the clients; and related documentation.	AC+10		AC+10	AC = After last contact. These student records are retained by the Counseling Service Office.		

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



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 296 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

673 RG	673 RG	Degree Audit and Application for Graduation Records. This series documents student completion of degree requirements. Records may include, but are not limited to, applications for graduation, work sheets; transcripts; and transfer course evaluations. The series may also include official graduation audit forms that list students' names; colleges; degrees; majors; minors; the course loads taken by the applicants for previous terms; the breakdown of institutional degree requirements (as opposed to school or program graduation requirements) and how the applicants have fulfilled them; grade point averages; and deans' recommendations/comments and signatures.	AC+5	AC+5	AC = Graduation date or date of last enrollment. Many records in this series are kept permanently elsewhere as part of the student's academic transcript. SEE # 665 under 9.1.
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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	O – Review by University Archives	



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 297 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	674 RG	Student Academic Records. This records series includes but, may not be limited to, the following: date of admission; period of attendance; academic work undertaken; academic work successfully completed; honors awarded; diploma, degree, or certificate earned; and appropriate evaluation of work completed for students such as medical, physician's assistants, and other professional type students.	AC+10		AC+10	AC = Graduation date or date of last enrollment. Many records in this series are kept permanently elsewhere as part of the student's academic transcript. SEE # 665 under 9.1.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 298 of 307

2. Agency Code 745		3. Agency Name The University of Texas Health Science Center at San Antonio						
4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	675 RG	Registration Records. This series documents the semester/academic year enrollment of students on an individual and an institutional basis. Records may include, but are not limited to, student schedules, course registration forms, course add/drop forms, course audit authorizations, course credit/no credit approvals, course pass/fail authorizations, class rosters, personal data information forms, and enrollment verifications.	AC+1		AC+1		AC = Graduation or last date of attendance for student class schedules and course add/drop forms. AC = After verification for enrollment verifications. AC = After date submitted for personal data information forms and registration forms. Some records in this series are kept permanently elsewhere as part of the student's academic transcript (SEE # 665 under Student Records) or class lists (SEE # 252 under Student Records).	
	676 RG	Catalogs - Student Records.	PM		PM	I	This record was previously Agency Item Number 251. ARCHIVAL NOTE: One copy to be retained in University Archives.	

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STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 299 of 307

2. Agency Code **745** | 3. Agency Name **The University of Texas Health Science Center at San Antonio**

4. Record Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	707 RG	International Exchange Visitor Records – J-1 Exchange Visitor/Student.	AC+5		AC+5	AC = Date of Exchange Visitor Program completion or from the end of the Academic Training phase, whichever is later.		
	708 OIS, DN	International Exchange Visitor Records – J-1 ECFMG.	AC+5		AC+5	AC = Date of academic program completion or end of F-1 OPT phase, including OPT STEM extension.		
	709 RG	International Exchange Visitor Records – F-1 Student.	AC+5		AC+5	AC = Date of academic program completion or end of F-1 OPT phase, including OPT STEM extension.		

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

STATE OF TEXAS
Records Retention Schedule
The University of Texas Health Science Center at San Antonio

1. Page 300 of 307

APPENDIX

EXPLANATION OF FIELDS

Records Series Item Number – Records series item numbers are assigned by the State and Local Records Management Division of the Texas State Library and Archives Commission.

Agency Item Number – Unique number assigned to the record series by the University of Texas Health Science Center at San Antonio. Includes abbreviation for department(s) responsible for keeping the official copy of the record. See list of departmental abbreviations on page 268.

Records Series Title – The most general titles possible have been chosen. Explanations are provided for those titles which are not self-explanatory.

Retention Period – Retention is expressed in years unless otherwise noted. Retention codes are located at the bottom of each page.

Archival – Those records series that must be transferred, or evaluated, for archival preservation. Archival codes are located at the bottom of each page.

Remarks – This column contains citations to applicable federal or state laws or regulations or other information regarding records retention requirements.

CAUTION STATEMENT: All retention periods are subject to the following caution: A state record may not be destroyed if any litigation, claim, negotiation, audit, open records request, administrative review, or other action involving the record is initiated before the expiration of a retention period for the record set by the Texas State Library and Archives Commission or in the approved records retention schedule of the University until the completion of the action and the resolution of all issues that arise from it, or until the expiration of the retention period, whichever is later.

DEPARTMENTAL CAUTION STATEMENT: Departments are responsible for providing supporting financial documentation in the event of any litigation, claim, negotiation, audit, open records request, administrative review, or action monitoring a record for those records not maintained by the central business units as noted in the schedule. Departments should maintain departmental financial records for the past three years in addition to the current year and should maintain all records related to grants or contracts in accordance with the terms prescribed by the granting agency. In cases where documentation cannot be produced by the department, the department will be responsible for any reimbursements to state and federal agencies.

STATE OF TEXAS
Records Retention Schedule
The University of Texas Health Science Center at San Antonio

1. Page 301 of 307

EXPLANATION OF CODES

Archival Codes:

I = The records must be transferred to University Archives.

O = The records should be appraised for archival or historical value before destruction. Records found to have historical value should be transferred to the University archives.

Retention Codes:

Retention Periods = All numbers used with retention periods are expressed in years unless otherwise indicated.

AC = After Closed (or terminated, completed, expired, or settled) – The record is related to a function of activity with a finite closure date.

AV = As Long as Administratively Valuable – The immediate purpose for which the record was created has been fulfilled and any subsequent need for the record to conduct the operations of the University, if any, has been satisfied. This retention period replaces PS (Purpose Served), used in previous University schedules.

CE = Calendar Year End – December 31.

FE = Fiscal Year End – August 31.

LA = Life of Asset – the record is retained until the disposal of the asset.

MO = Months

PM = Permanent – A record that possesses enduring legal, fiscal, or administrative value and must be preserved permanently by the University.

STATE OF TEXAS
Records Retention Schedule
The University of Texas Health Science Center at San Antonio

1. Page 302 of 307

US = Until superseded – The record is replaced by an updated version. If a record subject to this retention period is discontinued or is no longer required by law, the date of supersession is the date the decision to discontinue the record is made or the law takes effect. If the record relates to an employee, the date of supersession is the date of termination or the last date the record is needed with reference to the employee, as applicable. For example, an authorization for direct deposit (See Records Series Item 3.2.008) would be superseded on the date the last deposit is made under the authorization.

Responsible Departments (under “Agency Item Number” column):

AC Accounting
AFS Vice President for Academic, Faculty, and Student Affairs
ATS Academic Technology Services
BU Bursar's Office
CDO Vice President for Institutional Advancement and Chief Development Officer
CFO Vice President and Chief Financial Officer
CL Clinics
COM Office of Communications
DE Departments
DI Drug Information Service
DN Dean(s) Office
DS DSRD
EE Executive Director Academic, Faculty & Student Ombudsperson and ADA Compliance
EN Environmental Health & Safety
FM Facilities Management
FPO Executive Vice President for Facility Planning and Operations
FSP Facilities Space Planning and Real Estate
HR Human Resources
IA Internal Audit & Consulting Services
IC Institutional Animal Care & IACUC
IMI Integrated Management Information Systems
IMS Information Management Services
IR Institutional Review Board

STATE OF TEXAS
Records Retention Schedule
The University of Texas Health Science Center at San Antonio

1. Page 303 of 307

ISA Information Security and Assurance
LA Laboratory Animal Resources
LE Legal Affairs
LIB Library
MM Materials Management
OIS Office of International Services
OSP Office of Sponsored Programs
OST Office of South Texas Technology Management
PA Payroll Services
PC South Texas Poison Center
PR President's Office
PU Purchasing
RA Office of Regulatory Affairs & Compliance
RE Vice President for Research
RG Registrar
SD Service Departments
SNO Systems & Networking Operations
UPO University Police
UTM UT Medicine

EXPLANATION OF TERMS

CFR – Code of Federal Regulations – Regulations of federal agencies adopted under authority of laws enacted by the U. S. Congress.

RECORD COPY – The document kept on file as an original or official record for the total retention period. Distinct from a “working” or “convenience” copy, which is a duplicate used for reference purposes. **CAUTION:** Care must be taken in determining if duplicate records are indeed convenience copies or if two or more copies of the same document must be considered record copies. It is possible for the same document to be present in two or more units of the institution and be a record copy in each unit if it serves a different function in each of these units.

STATE OF TEXAS
Records Retention Schedule
The University of Texas Health Science Center at San Antonio

1 Page 304 of 307

RECORD SERIES – A group of identical records with the same function and the same retention period that is evaluated as a unit for retention scheduling purposes.

RETENTION PERIOD – The amount of time a records series must be retained before destruction or archival preservation.

STATE PUBLICATION – Information in any format that is produced by the authority of or at the total or partial expense of the University or is required to be distributed under law by the University, or is publicly distributed. The term does not include information the distribution of which is solely limited to contractors with or grantees of the University, staff persons within the University or within other governmental agencies, or members of the public under a request made under the Public Information Act, Government Code, Chapter 552. The term includes but is not limited to: a publication distributed in print, online publications, one or more text, graphic, or other digital files, or a user interface to a computer database.

TAC – Texas Administrative Code. Regulations of state agencies adopted under authority of laws enacted by the Texas legislature.

SUPPLEMENTAL NOTE – PERSONNEL RECORDS

INDIVIDUAL PERSONNEL FILE

- a. The employee's entire personnel file is to be retained at least 5 years after separation:
- b. Information to be maintained in employee personnel files for a period of 50 years after retirement:
 - 1) Teacher Retirement, Optional Retirement, and insurance beneficiary information.
 - 2) Optional Retirement Program Acknowledgement
 - 3) Optional Retirement Program Company(s) in which retiree has contributions
 - 4) Appointment and salary history (minimum information needed to verify employment, including name, social security number, date of birth, exact dates of employment, and last known address)
- c. Information to be maintained in employee personnel files for a period of 50 years or more, the items should be as follows:
 - 1) Optional Retirement Program Acknowledgement

STATE OF TEXAS
Records Retention Schedule
The University of Texas Health Science Center at San Antonio

1. Page 305 of 307

- 2) Appointment and salary history (minimum information needed to verify employment including name, social security number, date of birth, exact dates of employment, and last known address)
- d. Former employee Verification Records to be maintained until termination of employment plus 75 years. Minimum information needed to verify employment including name, social security number, exact dates of employment, and last known address.

SUPPLEMENTAL NOTES TO STUDENT RECORDS SECTION

SECTION 1: Admissions Records / Non-Matriculates.

1. Although the retention period for these records is one year, federal legislation or state statutes may dictate otherwise. The federal legislation which governs these records is as follows: Veterans Administration regulations require that all recruitment materials be retained 3 years.
2. Records for applicants who do not enter are not covered by FERPA.
3. Some documents from institutions in other countries may be originals and therefore difficult or impossible for the applicant to replace. The records custodian may want to return these documents to the applicant rather than destroying them.

SECTION 2: Admissions Records/ Matriculates.

1. Essential data will be recorded on academic records, which are retained for 75 years. Those records that are not kept after enrollment are: documentation of experience forms, interview rating forms, personal statements (supplement to application), publications, recommendation letters, recruitment materials, resumes, and waivers for rights of access to recommendation letters.
2. The Family Educational Rights and Privacy Act (FERPA) states that letters of recommendation not accompanied by waivers and retained beyond their intended use may be viewed by the student. As a consequence, it is recommended that these letters be destroyed after admission of the student. Waivers of rights of access filed with letters of recommendation should be retained as long as the file is retained. Students who revoke their waivers of rights of access may not see letters of recommendations during the time the waivers were in force.

STATE OF TEXAS
Records Retention Schedule
The University of Texas Health Science Center at San Antonio

1 Page 306 of 307

3. The Veterans Administration (VA) regulations state that the following student records must be retained for a least 3 years after termination of enrollment:
 - a. Previous education or training (transcripts from other colleges)
 - b. Evidence of formal admission (acceptance letters)
4. Educational institutions which participate in federal, state and private programs of low-interest loans to students must retain student records of admission and placement for 5 years after graduation or withdrawal. In the event of an open audit, records must be retained until all questions are resolved.
5. Some documents from institutions in other countries may be originals and therefore difficult or impossible for the applicant to replace. The records custodian has the option to return these documents to the applicant rather than destroying them.

SECTION 3: Other Student Records for Matriculates

1. Any record recommended for permanent retention should be microfilmed and/or digitized for security even if the original is retained. The original microfilm should be stored and secured in an off-site location. All digitized records should also be backed up off-site.
2. The Family Educational Rights and Privacy Act (FERPA) specifically require institutions to maintain records of requests and disclosures of personally identifiable information except for defined “directory information” and requests from students for their own records. The records of disclosures and requests for disclosures are considered part of the students’ educational records; therefore, they must be retained as long as the educational records to which they refer are retained by the institution.
3. The Veterans Administration (VA) regulations state that the following records must be retained for at least 3 years after termination of enrollment:
 - a. Grade reports and/or statements of progress (academic records).
 - b. Change of course forms and transfer credit evaluations.
 - c. Degree audit records.

STATE OF TEXAS
Records Retention Schedule
The University of Texas Health Science Center at San Antonio

1. Page 307 of 307

VA regulations require that all advertising, sales, and enrollment materials (e.g. catalogs and brochures) used by or on behalf of the institution be retained 3 years after the termination of a veteran's enrollment. In addition, records of tuition and fees charged to and collected from students, grade reports and statements of progress (academic records), and previous education and training documents (transfer credit evaluations) must be retained for 3 years.

4. Educational institutions which participate in federal, state, and private programs of low-interest loans to students must retain student records of courses studied for 5 years after graduation or withdrawal. In the event of an open audit, records must be retained until all questions are resolved.
5. Although student records created and maintained by medical and dental schools are usually narrative assessments of academic progress or clinical practice, for purposes of this retention schedule, such records are in the same category as the academic record.
6. The immigration and naturalization Service (INS) states that the school must keep a record used to comply with the reporting requirements for at least one year. Since many items included in foreign students' records are to be retained at least five years, it is recommended that INS documentation also be retained five years.

SECTION 4: FERPA (Family Educational Rights and Privacy Act) Documents

1. Which it pertains: students' waivers of rights to access to letters of recommendation, for example, should be retained until terminated or the letters themselves are destroyed. If the retention period for a record to which a Family Educational Rights and Privacy Act (FERPA) document pertains is permanent, the FERPA document should also be permanently retained and microfilmed and/or digitized for added security.