



October 3, 2018

Owen H. Ellard  
Senior Director of Libraries  
UT HSC at San Antonio  
7703 Floyd Curl Drive  
San Antonio, TX 78229-3900

Re: Agency records retention schedule approved for use.

Dear Mr. Ellard,

Lorenzo de Zavala  
State Archives and  
Library Building

Your agency's records retention schedule is approved for use as of October 2, 2018. Your currently approved records retention schedule is available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please ensure that all old copies of the schedule are superseded with this recertified copy.

1201 Brazos Street  
Austin, Texas  
78701

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

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

Each agency schedule must be reviewed, updated and submitted for recertification annually for the first two years after the initial approval of the schedule and every five years thereafter. The deadline for submission of your schedule for its next recertification is the last working day of October, 2023.

[www.tsl.texas.gov](http://www.tsl.texas.gov)

During a certification period, changes may need to be made to your schedule. State regulations (13 TAC §6.4) also allow for the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, or if you have any other questions, please contact the Government Information Analyst assigned to your agency, Benjamin Barlow at 512-463-5448 or [bbarlow@tsl.texas.gov](mailto:bbarlow@tsl.texas.gov).

*Commission Chairman*  
Michael C. Waters

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

*Members*  
David C. Garza  
F. Lynwood Givens  
Larry G. Holt  
Arthur T. Mann  
Darryl Tocker  
Martha Wong

Sincerely,

Craig Kelso  
Director and State Records Administrator

*Director and Librarian*  
Mark Smith  
  
*Assistant State Librarian*  
Gloria Meraz

cc: Agency head

**TSLAC**

*Preserving yesterday  
Informing today  
Inspiring tomorrow*



STATE OF TEXAS  
**Records Retention Schedule Certification**

SLR 105C

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

**Section 1. Agency Information**

*(Submitting agencies complete this section only)*

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

*(Check one)*

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

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

*(Check one)*

- Agency Head
- Records Management Officer

Signature   
 Name (Print or type) Owen H Ellard  
 Date 07/30/2018

**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) Not Required at This Time  
 Date \_\_\_\_\_

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

Signature   
 Name (Print or type) Gloria Metaz  
 Date 10/2/18

Cert/Recert No. 8 Amendment No. \_\_\_\_\_

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## CAUTION

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

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





**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
184 IA	1.1.002	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 = Publication or release of final audit findings.		The State Auditor's Office retains any copies of its audits performed on Texas state agencies.	
352 CFO	1.1.004	Legislative Appropriation Requests	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by the university.	AC	6			AC = September 1 of odd-numbered calendar years.	I	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.	
220 PR DE	1.1.006	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 = 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).	



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73 DE	1.1.007	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 administration regulations, policies, and procedures that govern them..		4				O	ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the University Archives when these records have met their retention 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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74 DE	1.1.008	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					SEE remarks on item number 1.1.007 (Correspondence - Administrative), SEE ALSO item number 1.1.010 (Directives).	
218 PR CFO	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						
212 PR	1.1.011	Executive Orders	Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of the university.	US	5				I		



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77 DE	1.1.013	Calendars, Appointment, and Itinerary Records	Calendars, appointment books or programs, and scheduling or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries and other activities of university officials or employees.	CE	1				O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.	
211 LE DE	1.1.014	Legal Opinions and Advice	From university legal counsel or the Attorney General, including any request eliciting the opinions.	AV					O	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048 (Litigation Files).	



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345 COM	1.1.019	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				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.	
353 CFO	1.1.020	Public Information Requests - Not Exempted	Includes all correspondence and documentation relating to requests for records that are furnished to the public under the Public Information Act (Chapter 552, Government Code).	AC	1			AC = Date request fulfilled.			
354 CFO	1.1.021	Public Information Requests - Exempted	Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code).	AC	2			AC = Date of notification that records are exempt.			
192 PR	1.1.023	Organization Charts		US					I		
193 DE	1.1.024	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 = Decision made to implement or not to implement result of planning process.	O	ARCHIVES NOTE: Data processing planning records are not archival.	





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217 PR	1.1.026	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 = Date of publication in the Texas Register.			
395 PR	1.1.027	Proposed Legislation	Drafts of proposed legislation and related correspondence.	AV					O		
75 DE	1.1.038	Customer Surveys	Surveys returned by the customers or clients of the university, and the statistical data maintained rating the university's performance.	AC				AC = Final disposition of summary report.	O	SEE item number 1.1.067 for summary reports compiled from customer surveys.	
101 DE	1.1.040	Speeches, Papers and Presentations	Notes or text of speeches, papers, presentations or reports delivered in conjunction with university work.	AC				AC = End of term in office or termination of service in a state position.	O		
69 DN DE	1.1.041	Suggestion System Records	Suggestions submitted by university personnel and responses.		1						
107 DE	1.1.043	Training Materials	Instructional materials developed by the university for training entities or individuals it regulates or serves.	US	1						
208 LE	1.1.048	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	3			AC=Separation from employment.	O	For EEOC cases where a lawsuit is not filed, retention is AC+3.	



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208 LE	1.1.048	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 = As applicable, decision of the university not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	O	ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the University Archivist for archival preservation.	
209 LE	1.1.048	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 = After Closed.	O	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.	
214 PR	1.1.053	Registration Logs	Logs or similar records used to register persons appearing before state agencies as required by Chapter 2004. Government Code, including quarterly reports filed with the Texas Ethics Commission.	AC				AC = Report filed with the Texas Ethics Commission.			



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196 PR	1.1.055	Strategic Plans	Information resources and operational strategic plans prepared in accordance with 2054.095 and 2056.002, Government Code.	AC	6			AC = September 1 of odd-numbered calendar years.	I	ARCHIVES NOTE: The archival strategic requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Strategic plans are now part of the COMPACT process.	
113 EE HR	1.1.056	ADA (Americans with Disabilities Act) Documentation	Self- evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act.		3					EE is responsible for Faculty, Residents, Students, and Post-Doctoral Fellows. HR is responsible for Classified and Administrative & Professional personnel.	28 CFR 35.105(c).



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108 DE	1.1.057	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 routine information used for communication, but not for the documentation, of a specific university transaction.	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).	



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90 DE	1.1.058	Meeting Agenda and Minutes	Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.	PM					I	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.	
213 PR	1.1.059	Meetings, Certified Agendas or Tape Recordings of Closed	Certified agendas or tape recordings of closed meetings of state boards, commissions, committees, and councils.	AC	4			AC = The date of the meeting or completion of pending action involving the meeting, whichever is later.		SEE caution comment at item number 1.1.058.Board of Regents letter dated 9/3/2002 recommends retention of 4 years.	Government Code, 551.104(a).



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91 DE	1.1.060	Meetings, Audio or Videotapes of Open	Audio or videotapes of open meetings of state boards, commissions, committees, and councils.	AC			90	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.	
88 DE	1.1.061	Meeting - Notes	Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC			90	AC = Approval of the formal minutes by the governing body.		SEE caution comment at item number 1.1.058.	
89 DE	1.1.062	Meetings - Supporting Documentation	Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc.Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.		2				I	SEE caution comment at item number 1.1.058.	



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					Years	Months	Days				
102 DE	1.1.063	Staff Meeting Minutes and Notes	Minutes, or notes, and supporting documentation taken at internal university staff meetings during which formal minutes are taken.		1						
197 CFO	1.1.064	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 in the university's appropriations request or strategic plan, and for performance measures used to manage the university.	FE	3					CAUTION:The FE+3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of university performance measures.	
100 DE	1.1.065	Reports and Studies (Non-Fiscal) - Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV						CAUTION:Does not include source documentation used for information or data included in or directly related to another records series in this schedule.SEE especially item number 1.1.064 (University Performance Measures Documentation).	



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362 AFS CFO	1.1.066	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 = September 1 of odd-numbered calendar years.	I	ARCHIVES NOTE:The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
219 PR DE	1.1.067	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				O	Departments are responsible for keeping the record copy of any reports or studies they prepare, unless the president's office requests a copy.ARCHIVES NOTE:Reports should be sent to the University Archives for possible inclusion in the archives.	
194 CFO	1.1.068	Reports on Performance Measures	Quarterly and annual reports on university performance measures submitted to executive and legislative offices.	AC	6			AC = September 1 of odd-numbered calendar years.			
99 DE	1.1.069	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					CAUTION:SEE item number 1.1.064 (Agency Performance Measures Documentation).	





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215 PR	1.1.070	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.	AC	3			AC = US	I	Available via web at <a href="http://www.utsystem.edu/bor/rules/homepage.htm">http://www.utsystem.edu/bor/rules/homepage.htm</a> . 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.	
364 CFO RA	1.1.070	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			AC = Completion or termination of program, rules, policies or procedures.	O		



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570 CFO RA	1.1.071	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 = Completion or termination of program, rules, policies or procedures.	O	SEE ALSO item number 1.1.070 (University Rules, Policies, and Procedures - Final).	
571 CFO	1.1.072	Public Information Reports	Reports made to the Attorney General on the university's Public Information Act activities.		2						
572 PR	1.1.073	Administrative Hearings	Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes.	AC	3			AC = Last action.	O		
574 LE	1.1.075	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 = Date of final agreement.			Texas Civil Practice and Remedies Code, Section 154.071.



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189 IC	1.1	Institutional Animal Care and Use Committee (IACUC) - Meeting Agenda and Minutes and Notices of Meetings			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.	9 CFR Chap 1, Subchapter A, Part 1, Subpart C, Section 2.35(f)
190 AFS DN DE	1.1	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				O	VP for Academic, Faculty & Student Affairs handles accreditation for entire institution.Deans handle accreditation for their school, except for the Dean of the School of Health Professions.Each Health Professions department is responsible for its own accreditation. Departments keep records for courses and materials they have developed that have been accredited by various associations. SEE ALSO: Accreditation Records - Residency Programs (Section 1.1 number 489).	



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198 IR	1.1	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						CAUTION: Do not dispose of records or reports for protocols that are still active.	
206 LE DN DE	1.1	Affiliation Agreements		AC	4			AC = Termination of agreement.		CAUTION: Departments should check with their accrediting agency to determine retention requirements for accreditation.	
207 AC	1.1	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							
210 OST	1.1	Patents, Copyrights, and Trademarks - Issued	Includes underlying patents, trademarks and copyrights and all supporting documentation.	AC	7			AC = After term of statutory protection or after abandonment.		Backup not required as available online through US Patent Office.	



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221 PR DE	1.1	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				O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention.	
349 CFO	1.1	Consent Agenda Support	Documentation submitted to the Board of Regents for approval under the Board's consent agenda.	AC	10			AC = Approval of Consent Agenda by Board of Regents.			
371 CFO	1.1	Safe Combination Records		US						HOP Policy 2.7.1 Safes. Combinations to all vaults and safes must be filed under seal with the VP & Chief Financial Officer.	
390 IC	1.1	Applications, Proposals - Institutional Animal Care and Use Committee - Unfunded		AC	1			AC = Date of notification of non-funding.			



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391 IC	1.1	Applications, Proposals, Proposed Changes in Care and Use of Animals, and Progress Reports - Institutional Animal Care and Use Committee	Includes animal protocols.	AC	3			AC = Close of activity involving animal.		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).	
392 IC	1.1	Semiannual Reports and Recommendations (including minority views) - Institutional Animal Care and Use Committee			3						
393 IC	1.1	Accrediting Body Determinations - Institutional Animal Care and Use Committee			3						
394 IC	1.1	Assurances Approved by US Dept of Health and Human Services Public Health Service (PHS) - Institutional Animal Care and Use Committee			5					Document must be renegotiated with PHS every 5 years.	



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400 DE	1.1	Experiments and Tests		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.	
407 PR DE	1.1	Annual Reports from Foundations or from Other State Agencies		AV							
412 RA	1.1	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						
414 RA	1.1	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						
416 RA	1.1	Routine Compliance Reviews / Reports	This records series supports institutional routine compliance reviews and monitoring activities.	FE	6						





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417 RA	1.1	Compliance Office - Institutional Compliance & Ethics Committee Minutes and Documents		FE	6					Settlement with US Office of Inspector General requires FE+6 retention period.	
435 DN	1.1	Faculty Council Minutes		AC	5			AC = after completion and distribution of minutes.			
437 DI	1.1	Pharmacy and Therapeutics Committee Drug Monographs	Reports written in response to requests from University Hospital Pharmacy and Therapeutics Committee.	PM							
438 DI	1.1	Drug Information Services Inquiry Forms		CE	5					Database kept on computer in DIS (Drug Information Service) office. Paper forms filed in DIS administrative office.	
439 DI	1.1	Drug Information Service - Drug Reaction Evaluation and Reporting Forms	Includes Adverse Drug Reaction Reporting Form, Navajo ADR Probability Scale, Request for Medical Records, MedWatch reports to FDA.	CE	5						
441 DI	1.1	Texas Department of State Health Services (DSHS) and Texas Health and Human Services Commission (HHSC) Contracts		AC	5			AC = Expiration or termination of the instrument according to its terms.			
442 DI	1.1	Drug Information Service Question Log Sheets		CE	5						



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443 RE	1.1	University Research Council Minutes			6					Formerly was the Executive Research Committee.Minutes for Executive Research Committee should also be kept for 6 years.	
447 AFS	1.1	Faculty Senate Minutes, Reports, etc			3						
454 LIB	1.1	Library Materials Control Records	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.	US							
457 DE	1.1	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							
458 LIB	1.1	Interlibrary Loan Borrowing Records	Includes databases of borrowing requests and QuickDoc, ILLIAD or other borrowing records systems.	CE	5					Copyright laws require 5 year retention.NOTE:ILL Lending records fall under 4.4.002 # 46 - Accounts Receivable Ledgers.	



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459 LIB	1.1	Library Patron Records	Includes database registration records such as OVID personal accounts.	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.			
460 RE	1.1	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 = 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.	
461 DE CFO	1.1	Requests for Approval of Outside Employment, Consultation, or Related Activities		AC	2			AC = Termination of employee involvement in employment, consultation, or activity.			
473 DN CFO	1.1	Requests for Approval of Dual Positions of Honor, Trust, or Profit		AC	2			AC = Termination of employee involvement in dual positions.			



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481 PR DE	1.1	Requests for Alcoholic Beverages on Campus		FE	2					Both originating department and President's office should keep copies for the retention period.	
482 PU	1.1	Reports of State Agency Travel to Washington DC, Office of State-Federal Relations (OSFR)		FE	3						
489 DE	1.1	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						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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493 DE	1.1	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 lists; outstanding alumni lists; student leader lists; class officer lists; foreign student rosters; international alumni club records; and notes, memoranda, and related correspondence concerning general alumni affairs.	PM							



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494 DE	1.1	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						SEE ALSO:record 3.1, # 498 for minors and record 3.1, # 499 for Faculty.	
495 DN	1.1	Curriculum Committee Minutes		PM							
497 DE	1.1	Minutes of Physical Therapy Department Meetings			10					Commission on Accreditation for Physical Therapy Education (CAPTE) requires 10 years for retention of departmental meeting minutes.	
500 DE	1.1	Service on Outside Boards - Requests for Approval		US	1					HOP (Handbook of Operating Procedures) policy 2.4.8.	
521 DE	1.1	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					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.	



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525 AC PU	1.1	Vendor Setup Forms	Records providing vendor profile information.	US							
530 DN DE	1.1	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					The Accreditation Council for Continuing Medical Education (ACCME) requires records be kept on file for a minimum of 6 years. SEE 4.7 # 529 for fiscal ; SEE 9.1# 385 for attendance.	
543 IR	1.1	Institutional Review Board (IRB) Member and Alternate CV's			3					FDA and DHHS required retention.	



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546 ISA, DE, CL	1.1	HIPAA (Health Insurance Portability and Accountability Act of 1996) Security Rule Implementation Documentation		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.) 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.	
547 PU	1.1	Reports from Travel Vendors	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).	FE	3						





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551 DE	1.1	Medical Liability Insurance Certificates	Records providing proof for employee of malpractice insurance coverage.	AC				AC = Separation or retirement date from UTHSCSA or new certificates received.			
552 OSP	1.1	Material Transfer Agreements (MTA's)		AC	20			AC = Date the material transfer agreement was signed.		Retention based on legal opinion from UTHSCSA Office of Legal Affairs.	
562 OST	1.1	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				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.	
563 OST	1.1	Patent Applications Not Issued		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.	
564 HR	1.1	Bayh-Dole Employment Agreements		AC				AC = 20 years for agreements with no reported invention; Life of Patent +4 years for agreements with inventions.		Records since 2012 are signed electronically via the Knowledge Center.	



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Retention Codes (field 7)

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 R/O – Review by State/University Archivist

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565 OST	1.1	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 = Expiration, termination, or completion of terms of agreement.	I	Mandatory backup of documents at off-site location.	
569 PR	1.1	President's Meeting/Appointment Registry		AC	1			AC = Tenure of president.			
575 DE	1.1	Meeting Agenda and Minutes - Committee	A record of actions and transactions taken by university committees, councils and similar groupsTypically includes minutes, agendas, notes, reports, bylaws, etc.		6				O	ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.	
576 DE	1.1	Photographs and Negatives - Historically Significant	Documents the collection of photographs or negatives created by or for a componentIncludes events that document the component's organization, special ceremonies, occasions, events and facilities.	AV					I		



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577 DE	1.1	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				AC = After completion of the event.		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.	
578 DE	1.1	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.	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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579 DE	1.1	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 = Next review completed, but keep no less than 6 years. SEE 1.1 #190 for records related to Accreditation.	
580 DE	1.1	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							
581 DE	1.1	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					O		
581 RA	1.1	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							



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582 DE	1.1	Subpoenas	Legal document requiring recipient to appear in court to testify, or to produce records to be used in litigation.	FE	3					Some information may be exempt from public disclosure.	
583 DE	1.1	Alumni Association Board Records	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.	PM					I		
593 RA	1.1	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					Some information may be exempt from public disclosure.	



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667 UPO	1.1	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			AC = Completion or termination of program, rules, policies or procedures.	O	Retentions based on Local Schedule PS - Retention Schedule for Records of Public Safety Agencies - as recommended by UT System Police Director's Office. Only code of conduct must be kept permanently.	
679 RA	1.1	Compliance Tracking Logs		AV							
680 DE	1.1	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 = Program length (i.e. AC = 4 years for a 4 year training program).			
686 DE	1.1	Essays Submitted for Awards	Essays submitted by students or others for the purpose of competing for an award or honor.	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.	



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689 DE	1.1	Business Associate Agreement (HIPAA)		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.	
697 OST	1.1	Institutional Intellectual Property Assessment Committee Meeting Minutes		PM					I		
698 IMI	1.1	Emergency Alert Systems Records	Includes, but is not limited to, sign up records, requests to not participate, test logs, feedback on tests.		3					3 year retention recommended by UT System.	
712 LIB	1.1	Lost and Found Logs	Records listing personal items left in the library.	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.			



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713 UTM	1.1	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 = 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.	
347 MM	1.2.001	Destruction Authorizations	University level documents authorizing final disposition of records under a certified records retention schedule.		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.	
350 DE	1.2.003	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 = Discontinuance of use of form.		Each department should keep its own forms history file as this is no longer done by a central department.	
351 DE	1.2.004	Forms Inventory	Any periodic listing of all forms used internally or externally by the university.	US						Each department should keep its own forms inventory as this is no longer done by a central department.	





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360 LIB	1.2.005	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						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.	
361 DE MM LIB	1.2.006	Records Transmittal Forms	Department 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			For departments, retention = AC+2 where AC = Date of authorization for destruction, permanent transfer from storage, or transfer to University Archives.		The Library keeps records of transfers to the University Archives permanently. Warehouse database records are kept permanently.	
362 DE MM LIB	1.2.006	Records Transmittal Forms	Department 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				For Materials Management, retention is AC where AC = as long as box is in storage for paper form.		The Library keeps records of transfers to the University Archives permanently. Warehouse database records are kept permanently.	
363 LIB	1.2.008	Request for Authority to Dispose of State Records (RMD 102)	University copy	FE	3					Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
357 LIB	1.2.010	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					Departments should send original or digital copy of signed disposition logs to Records Management Officer.	



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355 LIB	1.2.011	Records Center Storage Approval Forms (RMD 106)	University copy	US							
358 LIB DE	1.2.012	Records Inventory Worksheets		US						Departments should send Records Management Officer a copy of most up-to-date records inventory.	
356 LIB	1.2.013	Records Control Locator Aids	Includes indexes, card files, shelf lists, registers, guides, etc.	AC				AC = When control aid is updated, revised, or no longer needed.		CAUTION:These records must carry the same retention period and archival code of the records they support.	
359 LIB DE	1.2.014	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						
348 LIB	1.2.015	Disaster Recovery Service Transmittals (RMD 109)	Alsoincludes documentation for disaster recovery services provided by other entities.	FE	1						
584 LIB	1.2.016	Disaster Recovery Service Approval Form (RMD 113)	Agency copy of form	AC				AC = Until superseded or termination of service.			
585 MM	1.2	Records Retrieval Requests	Requests by UTHSCSA offices for retrieval of boxes/files stored at the Warehouse or in off-campus commercial storage facilities.		2					NOTE:Warehouse notes storage closed and box/files returned to department.Must submit new storage request to restore.	



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710 LIB	1.2	Records Reviews	Documentation of meetings with university departments or divisions to determine compliance with university records management program.	US							
216 DE	1.3.001	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)	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-.16).	



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97 DE	1.3.002	Publication Development Files	Background material copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the university.	AV					O		
63 SNO IMI DE	2.1.001	Processing Files	Machine-readable files used in the creation, utilization, and updating of master files.	AC				AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.	
61 DE	2.1.002	Master Files	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC				AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		NOTE: Departments will work with Integrated Management Information Systems (IMI) to manage the retention of records for applications maintained by IMI rather than departmental personnel. 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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65 DE	2.1.007	Software Programs	Automated software applications and operating system files including job control language, program listing/source code, etc.	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.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.
60 SNO DE	2.1.008	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 = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.



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



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55 SNO IMI DE	2.1.010	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 = All audit requirements have been met.			
59 SNO IMI DE	2.1.011	Finding Aids, Indexes, and Tracking Systems	Automated indexes, lists, registers, and other finding aids used to provide access to records.	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.	
531 SNO	2.1	Backup Tapes for Central E-mail Servers					14				
66 SNO	2.2.001	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							
56 SNO IMI IMS	2.2.002	Chargeback Records to Data Processing Services Users	Records used to document, calculate costs and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.	FE	3						
57 SNO	2.2.004	Computer Job Schedules and Reports	Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.			3					





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58 SNO IMS	2.2.010	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					CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number 2.1.009 (Technical Documentation).	
586 SNO DE	2.2.011	Batch Data Entry Control Records	Forms and logs used to reconcile batches submitted for processing against batches received and processed.	AC				AC = When reconciliation confirmed.			
62 SNO IMI DE	2.2.012	Output Records for Computer Production	Reports showing transactions that accepted, rejected, suspended, and/or processed.	AV							
64 SNO IMI DE	2.2.013	Quality Assurance Records	Information verifying the quality of system, hardware, or software operations including records of errors or failures and the loss of data resulting from such failures, documentation of abnormal termination and of error free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy.	AC				AC = No longer needed as an audit trail for any records modified.			





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587 SNO DE	2.2.014	Internet Cookies	Data resident on hard drives that make use of user specific information transmitted by the Web server onto the user's computer so that the information might be available for later access by itself or other servers.	AV						The disposal of Internet cookies need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management program.	
588 DE	2.2.015	History Files - Web Sites	A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generate a record of usage of a state owned computer.	AV						The disposal of history files need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan.	
589 DE PU	2.2.016	Software Registrations, Warranties and License Agreements		LA	3					License agreement is imaged and kept in the centralized institutional document imaging system managed by Purchasing.	



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610 ISA DE	2.2	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					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.	
178 HR EE PR	3.1.001	Applications for Employment - Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.		3					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.	29 CFR 1602.31 [State Agencies].29 CFR 1602.49(a) [State Universities].



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177 HR EE	3.1.002	Applications for Employment - Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC	5			AC = Termination of employment.		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 DE	3.1.006	Employee Counseling Records	Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems Usually maintained at the supervisory level except in those agencies with counseling staff.	AC	3			AC = Termination of counseling.			
153 HR	3.1.011	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			AC = Until termination of employment or retirement.		Records for retired employees are kept 50 years, all others for 5 years. NOTE: Superseded records are 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.	



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179 HR EE	3.1.012	Employment Opportunity Announcements	Internal or external announcements or advertisements of job openings.		3					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.	29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities].
155 HR	3.1.013	Employment Contracts	Includes Faculty and Administrative/Professional Memorandums of Appointment.	AC	5			AC = Expiration or termination of the contract/Memorandum of Appointment according to its terms.			



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180 EE DE PR	3.1.014	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			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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504 HR DE	3.1.014	Employment Selection Records - Staff	Human Resources- 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			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 selection of residents/fellows. SEE item number 3.1 # 408.	29 CFR 1602.31 [State Agencies] and 29 CFR 1602.49(a) [State Universities]



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110 HR DE	3.1.018	Grievance Records	Records relating to the review of employee grievances against personnel policies, working conditions, etc.	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.	
116 EE HR	3.1.018	Grievance Records - Sexual Harassment		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.	
534 EE HR	3.1.018	Grievance Records - Nondiscrimination & ADA (Americans with Disabilities Act)		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.	



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95 DE	3.1.019	Performance Appraisals	Evaluations completed that are used to measure and rate employee performance.	AC	5			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.	29 CFR 1620.32(c).
96 DE	3.1.020	Personnel Corrective Action Documentation	Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	AC	5			AC = Termination of 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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183 HR EE DE	3.1.021	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 = 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).	



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173 HR DE	3.1.022	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=Separation of employment.		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. Workflow emails are generated via PeopleSoft HCM and sent to Human Resources.	29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities].
182 HR EE	3.1.023	Position/Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in the university.	AC	5			AC = Until superseded or job eliminated.		UTHSCSA keeps longer than state requirement. Human Resources files non-faculty records; EE files faculty and Executive Committee records. Human Resources records are electronic.	40 TAC 815.106(i).
162 DE	3.1.024	Physical Examinations/Medical Reports	Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.	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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322 UPO	3.1.026	Criminal History Checks	Requests for background checks and resulting criminal history record information on job applicants or university employees.			6				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).	
106 HR DE	3.1.027	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 = Termination of employment.		SEE 5.4.007 for requirements on retention of hazardous materials training records.	
156 HR	3.1.029	Employment Eligibility, Documentation or Verification of	Department of Homeland Security/ US Citizenship and Immigration Services Form I-9.	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).



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151 HR	3.1.031	Employee Benefits - Other than Insurance	University copies of information relating to the selection of available benefit options other than insurance.	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.	
164 HR	3.1.034	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						SEE item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.	
161 DE	3.1.035	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 = 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.	
145 DE	3.1.036	Apprenticeship Records	Summary of applicant qualifications, evaluation basis for selection or rejection, original applications, job assignments, promotions, separations, layoffs, terminations, compensation records, conditions of work, time records, hours of training provided (separate from labor), minority status, and gender of all selected and rejected applicants.		5						29 CFR 30.8(e).
154 HR	3.1.037	Employee Recognition Records	Awards, Incentives, etc.	AC	5			AC = Termination of employment.		SEE 3.1 # 621 for faculty promotion and tenure records.	



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590 HR	3.1.038	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						Information is recorded in PeopleSoft.SEE item number 3.3.011 for former employees.	
591 DE	3.1.039	Ombudsman Records	Consultation records, notes, letters, memos, emails, reports and other documentation.	AC				AC = Final decision or matter closed.		CAUTION: Does not include formal complaint filed with 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.	



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81 HR DE	3.1	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 = Term of employment.	O	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. 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.	
82 HR	3.1	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 = Retirement date.			



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372 DE	3.1	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 affidavit signed by the employee stating any prescription drugs or over the counter medication currently taken; and final clearance to resume working.		5						



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373 DE	3.1	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; affidavit signed by the employee stating any prescription drugs or over the counter medication currently taken; and final clearance to resume working.		1						
374 DE	3.1	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						49 CFR 382.401(b)(1)(iii).





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386 HR DE	3.1	PeopleSoft Funding & Job Data Change Information	Forms, e-mails or similar records used to make changes involving employees currently on the budget.		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.	



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389 HR DE	3.1	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			AC = Term of employment.	O	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: 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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408 DE	3.1	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 = 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.	29 CFR 1602.49(a)
471 EE HR	3.1	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			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.	
474 DE	3.1	Telecommuting Agreements		FE	1					All telecommuting agreements must be renegotiated at the beginning of each fiscal year (UTHSCSA Handbook of Operating Procedures policy 4.7.10).	
478 DE	3.1	Requests for Work Schedule Changes	Includes requests for flex (flexible, flextime) program schedules.	US							



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498 HR	3.1	Hazard Assessment Request for Minors in the Workplace	Includes records for both employees and volunteers.	AC	2			AC = Date of minor's 18th birthday.		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.	
499 DE	3.1	Records for Initial Faculty Appointments - Volunteer Faculty		AV							
527 HR DE	3.1	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 certificate.	AC 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 valuations/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.	



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528 HR DE	3.1	Employee Appeals for Disciplinary Action or Discharge		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.	
595 HR	3.1	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					Records are stored electronically in PeopleAdmin.	



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621 AFS HR DE	3.1	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 UT 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			AC = Termination of employment.	O	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. 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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699 HR DE	3.1	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			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.	
700 OIS HR	3.1	International Exchange Visitor Records – Labor Certification/PERM		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)



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701 OIS	3.1	International Scholar Records – Immigrant Petition/Form I-140 sponsored by HSC	Includes internal documents and forms filed with US Citizenship and Immigration Services (USCIS).	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.	
702 OIS	3.1	International Exchange Visitor Records – H-1B Public Inspection File	Includes Labor Condition Application, wage rate documentation, and related materials.	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).
703 OIS HR	3.1	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 US Citizenship and Immigration Services (USCIS).	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.	





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704 OIS	3.1	International Exchange Visitor Records – J-1 Exchange Visitor/Scholar		AC	5			AC = Date of Exchange Visitor Program completion.			
152 PA	3.2.001	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 = Termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.			
16 PA	3.2.002	Employee Earnings Records	Documentation of employee earningsRecords 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						40 TAC 815.106(i).
24 AC	3.2.003	Federal Income Tax Returns (Form 990T, Unrelated Business Income Tax)			20					Records not on campus.Filled out and filed at University of Texas System offices.	



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25 PA	3.2.003	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 = Tax due date, date claim is filed, or date tax is paid whichever is later.		IRC Section 6531 Title 26-Internal Revenue Code.	26 CFR 31.6001-1(e)(2).
31 PA	3.2.004	Income Adjustment Authorizations	Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.		2						29 CFR 516.6(c).
170 PA	3.2.005	W-4 Forms	Employer's copy of "Employee's Withholding Exemption Certificate".	AC	4			AC = Until superseded, obsolete, or upon separation of employee.			26 CFR 31.6001-1(e)(2).
171 HR	3.2.006	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					Also called Pay Plan. Wages rates are stored in PeopleSoft HCM. Survey data is stored in MarketPay.	29 CFR 516.6(a)(2).
169 HR	3.2.007	Unemployment Compensation Records		AC	5			AC = Termination of Employment.		Records are filed electronically through the Texas Workforce Commission (TWC).	



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150 PA	3.2.008	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							
166 HR	3.2.009	State Deferred Compensation Records		AC	5			AC = All accounts with a vendor or vendors for the individual participant have been closed.		For 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.	
159 HR	3.2.010	Human Resources Information System (HRIS) Reports	Includes supporting documentation.	AC	4			AC = After completion of report.			
596 DE	3.2	Paycheck Receipt Log	This records series lists in alphabetical order the employee name, employee number, and employee signature for a specific pay period.		3						
176 HR EE	3.3.001	Affirmative Action Plans	Affirmative action plans for employees.		5					UTHSCSA does not have Affirmative Action plans for apprenticeships or students.	
149 HR	3.3.004	Benefit Plans	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation, etc, including amendments.	US	1						29 CFR 1627.3(b)(2).
181 HR	3.3.010	Labor Statistics Reports	Reports providing statistical information on labor force.		3					Electronic version sent to Bureau of Labor Statistics.	



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158 HR	3.3.011	Former Employee Verification Records	Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	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.	
163 HR	3.3.015	Positions/Job Classification Review File	Records relating to review and monitoring of job classifications within the university.	US	3					Electronic version kept in MarketPay and PeopleSoft HCM.	
109 DE	3.3.020	Work schedules/Block Schedules/Assignments	Work, duty, shift, crew, or case schedules, rosters, or assignments.		1					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.	
167 HR	3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the university from TWC or its predecessor pertaining to employees.		3						
52 AC DE	3.3.023	Reimbursable Activities, Requests and Authorizations to Engage in	Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE	3					SEE 4.7.008 for fiscal records for federal grants.	



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174 HR DE	3.3.024	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					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.	
85 DE	3.3.025	Job Procedure Records	Any documents detailing the procedural duties and responsibilities of university positions on a position-by-position basis.	US	3					Departmental level job description for individual position.	
175 HR DE	3.3.026	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					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).	
148 DE	3.3.027	Aptitude and Skills Tests	Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US	2					CAUTION:One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.	29 CFR 1602.31 (State Agencies).29 CFR 1602.49 (State Universities).
146 DE	3.3.028	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						29 CFR 1602.31 [State Agencies].29 CFR 1602.49 (State Universities).



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168 HR	3.3.030	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					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.	
678 HR DE	3.3.030	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					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.	
115 HR EE	3.3.031	EEO (Equal Employment Opportunity) Reports and Supporting Documentation	Includes documentation used to complete EEO reports.		3					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	29 CFR 1602.32, 1602.39, 1602.41, 1602.48 and 1602.50.



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157 HR	3.3.032	Equal Pay Records	Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the Federal Equal Pay Act.		3						29 CFR 1620.32.
133 OSP	3.3	Time and Effort Report	A record certifying the percentage of time worked on a sponsored project during a particular reporting period.	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.	
117 EE	3.3.030	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					SEE 3.3.030 # 678 for instructional materials.	
172 HR DE	3.4.001	Accumulated Leave Adjustment Requests	Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances on August 31, to correct errors on leave accumulation, and to close out leave a accounts on separated employees.	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.	





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160 DE	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	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.	
37 PA	3.4.003	Less Than Full-Time Worked Reports	Dates and hours		4						40 TAC 815.106(i).
39 PA	3.4.004	Overtime Authorizations			2						
94 DE	3.4.005	Overtime Schedules			2						
104 DE	3.4.006	Time Cards and Time Sheets	A record of the number of hours worked and the number of hours taken as leave.	FE	4						40 TAC 815.106(i).
105 DE	3.4.007	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. Includes requests for outside education during working hours.	FE	3					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).	
165 HR	3.4.008	Sick Leave Pool Documentation	Requests submitted, approvals, number of hours transferred in and out, etc.	FE	3					Kept in both paper and electronic format.	





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477 HR DE	3.4	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					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.
2 AC	4.1.001	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					SEE 4.7.008 for fiscal records for federal grants.	



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70 DE	4.1.002	Billing Detail	Provides itemized billing record for services rendered.	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.	
10 AC	4.1.003	Cancelled Checks/Stubs/Warrants/Drafts	This records series consists of canceled checks issued for authorized payments or refunds.	FE	3						
18 AC	4.1.004	Encumbrance Detail	This records series documents holds placed on funds for payment of services.	FE	3						
229 AC SD	4.1.005	Inventory and Other Cost Files	Production, job, labor, quotes, pricing, specifications, etc.	FE	3						
43 DE	4.1.007	Transfers or Budget Revisions	Transfers or adjustments to budgets.	FE	3						
597 BU	4.1.008	Electronic Fund Transfers	Direct Deposit Registers	FE	3						



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404 DE	4.1	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					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.	
47 BU DE	4.2.001	Cash Deposit Vouchers	Cash deposits slips	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.	
48 BU DE	4.2.002	Cash Receipts	Includes receipts for fees (permits, licenses, renewals, etc).	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.	



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14 BU	4.2.003	Daily Cash Receipts Logs		FE	3						
19 PU	4.2.004	Encumbrance Vouchers	Orders, statements, change orders, etc.	FE	3						



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50 AC PU MM	4.2.005	Purchase Vouchers	Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	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 solesource 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 scanned (including best value determination and change order supporting documentation).	



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29 AC	4.2.006	General Journal Vouchers	A record of budget entries and transfers of funds between an agency's budgets.	FE	3					Includes IT journal vouchers.	
49 AC DE	4.2.007	Expenditure Vouchers	Travel, Payroll, etc.	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.	
523 AC PU	4.2	Travel Central Billing Credit Account Records		FE	3						
532 BU	4.2	Currency Order Records			1						
42 AC	4.3.001	Sales Journals or Registers		FE	3						
40 AC	4.3.002	Receipts Journals or Registers		FE	3						
22 AC	4.3.003	Expenditures Journals or Registers		FE	3						



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28 AC	4.4.001	General and Subsidiary Ledgers		FE	3						
46 AC DE	4.4.002	Accounts Receivable Ledgers	Includes manual and electronic invoice and billing records.	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., Accounting).SEE 4.7.008 for fiscal records for federal grants.	
3 AC	4.4.003	Accounts Payable Ledgers		FE	3						
17 PA	4.4.004	Employee Savings Bond Ledgers		FE	6					Federal Reserve no longer sends out ledgers. Electronic tapes destroyed when returned.PeopleSoft shows information with employee records.	
45 AC	4.5.001	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						



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32 AC DE	4.5.002	Internal Fiscal Management Reports	Includes university monthly budget reports.	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.	
5 AC	4.5.003	Annual Financial Reports	Required by the General Appropriations Act (100 Day Report).	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.	
23 AC CFO	4.5.005	External Fiscal Reports	Special purpose - ie federal financial reports, salary reports, etc Includes HUB Reports.	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.	
346 CFO	4.5.006	Annual Operating Budgets	Required by the General Appropriations Act.	FE	3						
598 AC	4.5.007	USAS Reports - Daily		AC				AC = Receipt and reconciliation of monthly report.			





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599 AC	4.5.008	USAS Reports - Monthly		AC				AC = Receipt and reconciliation of annual report.			
600 AC	4.5.009	USAS Reports - Annual		FE	3						
4 AC	4.5	Annual Financial Report Work Papers	(Includes 13th Month Post-Closing Report)		7						
601 AC	4.5	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 = Until building is demolished.			
6 AC	4.6.001	Balancing Records	Includes monthly financial reports.	FE	3						
51 AC DE	4.6.002	Reconciliations		FE	3					Non-federal records are kept FE+3; 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).	



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52 AC DE	4.6.002	Reconciliations		FE	6					Records for federal accounts are kept 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).	
71 DE	4.6.003	Cash Counts		FE	6						
1 AC	4.7.001	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						
8 AC	4.7.002	Bank Statements	Periodic statement of bank balances containing information showing income and outgoings on a bank account.	FE	3						



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41 AC	4.7.003	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 = After deemed uncollectible.			
11 AC MM	4.7.004	Capital Asset Records		LA	3					Materials Management keeps records for assets that have been sold at auction.	
12 AC	4.7.005	Claim Files		AC	3			AC = Resolution of claim.			
13 AC	4.7.006	Comptroller Statements	Statements issued by the Comptroller's office, including statements of assurance, financial integrity statements, statements and response to proposals, etc.	FE	3						
15 AC	4.7.007	Detail Chart of Accounts	A list of all accounts in use by the university for a fiscal yearEach account is usually assigned a number or code.	FE	3						



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388 AC DE	4.7.008	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 = 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.	
26 AC	4.7.009	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						
38 AC	4.7.010	Long-Term Liability Records	Bonds, etc	AC	3			AC = Retirement of Debt.			
30 AC	4.7.011	Texas Facilities Commission Statements (TFC)	Charge or bill statements received by the university from the TFC for services provided.	FE	3						



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53 CFO DE PU	4.7.012	Signature Authorizations	Signature cards or similar records establishing authority of the university employee to initiate or authorize financial transactions on behalf of the university.	AC	3			AC= US+FE		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.	
132 OSP	4.7	Indirect Cost Calculations	Data gathered from departments regarding expenses from a particular budget that cannot be included on an indirect cost proposalThe records series may also include data gathered from departments about the allocation of staff.	FE	7					Policy based on Federal Office of Management and budget (OMB) Circular A-21.	



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344 CDO DE	4.7	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					I	Security is open with restrictions. SEE ALSO record 4.7 # 711 - Gift Records - All Other Records and record 9.1 # 652 - Scholarship Reports.	
452 LIB	4.7	Library Materials Inventory Control (Removal) Lists		FE	3					Includes but is not limited to Journal Withdrawn and Lost/Removed Books lists.	
476 AC	4.7	Texas Facilities Commission - Inter-Governmental Programs/Federal Surplus Property Program Authorized Representatives Records			5					Similar to 4.7.012 but kept 5 years.	
505 AC DE	4.7	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 = end of grant.		Internal Audit will expect departments to provide records in case of an audit.	



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529 DN DE	4.7	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					CME activity fiscal records are kept on computer indefinitely; paper files for 6 years. The Accreditation Council for Continuing Medical Education (ACCME) requires records be kept on file for a minimum of 6 years.	
602 AC OSP	4.7	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 = After account closed.			
711 CDO DE	4.7	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				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.	



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					Years	Months	Days				
366 PU	5.1.001	Contracts and Leases (Executed, renewed, or amended on or after September 1, 2015)	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildingsDocuments 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. Executed, renewed, or amended on or after September 1, 2015	AC	7			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.	Government Code, 441.1855
367 PU	5.1.001	Contracts and Leases (Executed, renewed, or amended on or before August 31, 2015)	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildingsDocuments 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. Executed, renewed, or amended on or before September 1, 2015	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.	Government Code, 441.1855





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135 MM	5.1.003	Delivery Reports	Records tracking the number of deliveries performed or verifying delivery to departments.		2						
319 IMS HR	5.1.004	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						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).	
139 MM	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage.	FE	3						
119 ATS	5.1.007	Requisitions for In-Agency/Inter-Agency Copy/Printing Service	Includes word processing and data processing.	AV							
86 DE	5.1.010	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 = Expiration date of license or permit.			
118 ATS LIB	5.1.011	Photocopier and Telefax Usage Logs & Reports		AV							



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228 SD	5.1.012	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						
84 DE	5.1.013	Insurance Policies	For vehicles, equipment, etc. Executed, renewed, or amended on or after September 1, 2015. a)	AC	7			AC = Expiration or termination of the policy according to its terms.		Government Code, 441.1855	
85 DE	5.1.013	Insurance Policies	For vehicles, equipment, etc. Executed, renewed, or amended on or before August 31, 2015. b)	AC	4			AC = Expiration or termination of the policy according to its terms.		Government Code, 441.1855	
92 DE	5.1.014	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						
134 MM	5.1.015	Correspondence Tracking Records	Any record created by the university to track any type of incoming and outgoing correspondence or packages by the US Postal Service or by private couriers.		1						
519 PR	5.1.015	President's Correspondence Logs	Used to track handling of mail coming into the President's Office.		6						
604 PU	5.1.017	Contract Log	List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE	3						



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472 SD DE	5.1	Service Request Forms	Integrated Management Information Systems (IMI), Information Management Services (IMS), Library, Systems & Network Operations, Academic Technology Services, Materials Management or other departmental service request forms.	AV						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 email.	
568 DE	5.1	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 = End of student rotation or, for contracts, expiration of contract.			
605 DE	5.1	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					SEE 5.4 #539 for shipping of hazardous materials.	
606 DE	5.1	Permits - Mail Services	This records series consists of bulk mailing permits.	AC	1			AC = After expiration of permit.			



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607 DE	5.1	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 = Termination of agreement.			
608 DE	5.1	Registered Mail Receipts	This records series consists of receipts for registered mail.		1						
609 DE	5.1	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 = Determination that governmental entity has ceased the negotiation process with no contract agreement.			
684 UTM DE	5.1	Provider Enrollment Contracts	Contracts with insurance companies for reimbursement for patient services.	AC	10			AC = Termination of agreement.		Departments are official record keeper only if the contract is with someone other than UT Medicine.	
120 FM	5.2.001	Appraisals - Building or Property		AV					O	Electronic records are updated and maintained on the UT System and Administration WEB site.	
122 FM FPO	5.2.002	Building Construction Project Files	Planning, design, and construction records; accepted and rejected bids; correspondence; etc.	AC	10			AC = Completion of project.	O	SEE ALSO item numbers 5.2.003 for building plans and specifications and 5.2.028 for building construction contract and inspection records.	



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123 FM PU FPO	5.2.003	Building Plans and Specifications	Includes architectural and engineering drawings, profiles, and blueprints.	AC	2			AC = For leased buildings, termination or cancellation of lease.	O	SEE ALSO item numbers 5.2.002 for building construction project files and 5.2.028 for building construction contracts and inspection records. 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.	
123 FM PU FPO	5.2.003	Building Plans and Specifications	Includes architectural and engineering drawings, profiles, and blueprints.	LA					O	University owned: LA	



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191 FSP	5.2.004	Building Space Requests			1				I	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.	
124 EN	5.2.005	Calibration Records (Equipment or Instrument)			10					Calibrations for non-radiological equipment are retained for 10 years.	TAC 289.202(ggg)(5)



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					Years	Months	Days				
125 EN	5.2.005	Calibration Records (Equipment or Instrument)		AC				AC = 3 years or until superseded by the next regulatory inspection, whichever is later (TAC 289.202(ggg)(5) subsection nn(1)).		Retention for calibrations of radiological equipment is normally AC. 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)
140 MM	5.2.006	Property Destruction, Certificates of		FE	3						
323 UPO	5.2.007	Damage Reports	Reports of damage to university owned property	FE	3						
224 PU	5.2.008	Equipment History File; Equipment Service Agreements	Agreements or contracts between the university and equipment vendor to provide maintenance service for equipmentIncludes requests for installation, moves service, etc; and service/repair logbooks, etc. Also includes equipment loan or donation agreements.	LA	3					NOTE: Original, signed, and fully executed contract is imaged and kept in the centralized institutional document imaging system managed by Purchasing.	
21 AC DE	5.2.009	Equipment Inventory Detail Report Forms	Updates university portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE	3					Both Accounting and Departments must keep records for FE+3.Departments may retain longer if they feel they are valuable.	
79 DE	5.2.010	Equipment Manuals		LA							



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80 DE	5.2.011	Equipment Warranties		AC	1			AC = Expiration of warranty.			
125 FM	5.2.012	Estimate Files (Supply and Repair Cost Estimates)	Cancelled work orders/projects only.		1						
33 AC DE	5.2.014	Inventory - Annual Physical	Property, equipment supply verification.	FE	3					Both Accounting and Departments must keep records for FE+3. Departments may retain longer if they feel they are valuable.	
35 AC	5.2.015	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						
34 AC	5.2.016	Inventory System Update Listings	Listing shows all additions, changes, deletions, and transfer time for the monthly processing period.	AC				AC = Transfer of information into annual listing.			
325 UPO	5.2.017	Lost and Stolen Property Reports		FE	3						
98 DE	5.2.018	Quality Control Reports			2						
232 SD DE	5.2.019	Service Orders	University copy of forms completed by mechanical service personnel for installation or repair Includes billing code, service, labor, parts and remarks.		1					SEE Departmental Caution Statement.	
231 SD	5.2.020	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						





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141 MM	5.2.021	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						
128 FM	5.2.022	Utility Usage Reports		AV						FM keeps for FE+3.	
54 AC SD	5.2.023	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						
230 SD	5.2.024	Material Specifications		AC	2			AC = Material is no longer in the agency.			
20 AC	5.2.025	Equipment Descriptions and Specifications		AC	2			AC = Equipment is no longer in the agency.			
272 FSP	5.2.026	Facilities Reservation Logs	Reservation logs or similar records relating to the use of university facilities such as meeting rooms, auditoriums, etc.		2						
195 FSP	5.2.027	Space Utilization Reports - Classroom		AV							



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121 FM	5.2.028	Building Construction Contract and Inspection Records	Building construction contracts, surety bonds, and inspection records.	LA	10				O	SEE ALSO item numbers 5.2.002 for building constructin project files and 5.2.003 for building plans and specifications.	
126 FM	5.2	Facilities Management Maintenance/Renovation/Repair Records	This series documents the condition, upkeep, and routine maintenance of the institution's buildings and grounds.	FE						Retention periods are based on cost of project: FE = \$100 and under	
127 FM	5.2	Facilities Management Maintenance/Renovation/Repair Records	Cost of project:\$101 - \$4,999 - This series documents the condition, upkeep, and routine maintenance of the institution's buildings and grounds.	AC	3			AC = End of project.		Retention periods are based on cost of project: AC+3 = \$101 - \$4,999	
128 FM	5.2	Facilities Management Maintenance/Renovation/Repair Records	Cost of project: \$5000 - \$25,000 - This series documents the condition, upkeep, and routine maintenance of the institution's buildings and grounds.	AC	5			AC = End of project.		Retention periods are based on cost of project: AC+5 = 5000 - \$25,000	
129 FM	5.2	Facilities Management Maintenance/Renovation/Repair Records	Cost of project: \$25,001 and up - This series documents the condition, upkeep, and routine maintenance of the institution's buildings and grounds.	AC	10			AC = End of project.		Retention periods are based on cost of project: AC+10 = \$25,001 and up	
506 AC DE	5.2	Property Removal Permits		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.	
559 FSP	5.2	Building Code Listing	List of codes used to designate buildings at various locations and campuses of the university.	US	5						



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560 FSP	5.2	Lease Room Assignments and Leased Building Documentation		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.	
561 FSP	5.2	UTHSCSA Space Management System (SMS) Records		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.	
27 AC	5.3.002	Freight Bills Paid		FE	3						
136 MM	5.3.003	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 = Resolution of claim.			
225 PU	5.3.004	Order - Acknowledgements	This records series consists of customer notification that their order was received by the supplier.	AV							
138 MM	5.3.005	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							



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223 PU	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	AC	7			AC= Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.		a) Associated with a contract executed, renewed, or amended on or after September 1, 2015. CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001 for contracts and leases and 5.2.028 for building construction contract and inspection records.	



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224 PU	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	FE	3					b) Associated with a contract executed, renewed, or amended on or before August 31, 2015. CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001 for contracts and leases and 5.2.028 for building construction contract and inspection records.	



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225 PU	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	AC	2			AC=Date of notification of denial or date of withdrawal, as applicable.		c) Unsuccessful bids that do not meet agency submission requirements and are not included in bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.). CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001 for contracts and leases and	



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226 PU	5.3.008	Purchasing Logs	Log, register, etc, providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE	3					UTHSCSA does not keep purchasing logs as all documentation relating to a particular purchase order is attached to the purchase order.	
227 PU	5.3.009	Requests for Information	Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC				AC = Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.			
522 PU	5.3	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						



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143 EN	5.4.001	Accident Reports and Associated Documentation	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally.	CE	5					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).	29 CFR 1904.33.
233 EN	5.4.002	Evacuation Plans	Plans for evacuation of university facilities in cases of emergency.	US							
237 EN	5.4.003	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 = 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.	
234 EN	5.4.004	Fire Orders	Orders issued by Fire Marshal to correct deficiencies in compliance with fire code.	AC	3			AC = Deficiency corrected.			
236 EN	5.4.007	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 = Termination of employment.		PI's (Principal Investigators) are required to maintain documentation of internal training for 5 years. Training is web-based.	Texas Health and Safety Code, 502.009(g).
235 EN FM	5.4.008	Hazard Communication Plans		US	5						Texas Health and Safety Code, 502.009(g).





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239 EN DE	5.4.009	Workplace Chemical Lists	Includes chemical inventories.		30						Texas Health and Safety Code, 502.005(d).
238 EN	5.4.010	Material Safety Data Sheets	Texas Health and Safety Code 502.006	AC				AC = After sheets are updated or hazardous chemical no longer stored by university, as applicable.		Available via web site: <a href="http://msdspro.uthscsa.edu:81/">http://msdspro.uthscsa.edu:81/</a> where it is updated automatically by vendor.	
334 UPO	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of university facilities.		3						
333 UPO SNO IMS DE	5.4.012	Security Access Records	Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to 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 = 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.	



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365 PR DE	5.4.013	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; 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.	US						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.	



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72 DE	5.4	Controlled Substance Drug Logs		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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76 DE PU	5.4	Drug Enforcement Agency (DEA) Forms		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.
396 EN	5.4	Environmental Audits	Audit of facilities that dispose of waste materials for compliance issues.	US	2						



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401 EN	5.4	Occupational Safety Evaluations	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 = date of inspection/survey or date of the correction of the deficiency if the inspection report reveals a deficiency.			
402 EN	5.4	Health and Safety Incident Reports	Reports any accidents or incidents incurred by students or visitors to the university.		10					May contain confidential information, exposure information.	



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403 EN	5.4	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						Radiation materials discharge, treatment, or transfer for disposal-	25 TAC 289.202.
418 EN	5.4	Waste Disposal Manifests - Medical Waste			50						
419 EN	5.4	Safety Manuals - Radiation		PM						TAC 289.256 and 289.252 radioactive material license requirement.	
420 EN	5.4	Safety Manuals - Chemical, Physical Safety, Biological Safety/Blood Borne Pathogens, and TB Exposure Control Plan		US	5						
421 EN	5.4	Reports to Texas Commission for Environmental Quality			3						



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422 EN	5.4	Select Biological Agents (CDC) Records - Registration Documents		US	5					Government Code Title 4, Subtitle B, Chapter 418, Subchapter H, Section 418.178 prohibits release via freedom of information requests.	
424 EN	5.4	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						Mandated by Department of State Health Services.	25 TAC 289.202.
425 EN	5.4	Radioactive Drug Research Committee Minutes and Annual Reports		PM						Mandated by FDA.	



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426 EN	5.4	Minutes of Chemical Safety Committee, Physical Safety Committee, Infection Policy & Education Committee, and UTHSCSA Institutional Biosafety Committee			6					Biosafety Committee minutes retention is mandated by NIH and open records are mandated. Confidentiality of other committee records in this series are covered under state laws pertaining to peer review provisions for committees at Health Science Centers.	
427 EN	5.4	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 = Termination of employment.			
428 EN	5.4	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.	PM							25 TAC 289.202.
429 EN	5.4	Records Used to Prepare RC Form 202-2 and RC 202-3			3					Form 202-2: 25 TAC 289.202(pp); Form 202-3: 25 TAC 289.202(rr)(5).	25 TAC 289.202(pp); 25 TAC 289.202(rr)(5).
462 UPO	5.4	Eligibility to Handle Select Biological Agents or Toxins, Annual Statements of		US	1						





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538 EN	5.4	Minutes of the UT System Institutional Biosafety Committee			6					Biosafety Committee minutes retention is mandated by NIH.UT System Biosafety committee has open records.	
539 EN	5.4	HAZMAT (Hazardous Materials) Records	Includes reports of HAZMAT incidents, hazardous materials shipping records/manifests, and training on shipping hazardous materials.		10					Required by Department of Transportation.	
553 EN	5.4	Radiation Safety Contamination Surveys	Records of surveys performed to detect the presence of radioactive material contamination.		3						25 TAC 289.256(bb)(3) and (www).
554 EN	5.4	Sealed Source Leak Tests		AC	3			AC = Lifetime of source.			25 TAC 289.201(g)(7), 289.202(bbb) and 289.256(www).
555 EN	5.4	Sealed Source Transfers/Disposal Forms		PM							25 TAC 201(d)(1) and 289.256(www).
556 EN	5.4	Sealed Source Inventories			3						25 TAC 289.256(www) and (z)(2).
557 EN	5.4	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							25 TAC 289.256.



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558 EN	5.4	Assessment of Internal Radiation Exposures/Bioassays	Records of bioassay uptake measurements and associated calculations to determine presence of internal contamination of radioactive material.	PM							25 TAC 289.256.
637 EN	5.4	Chemical and Hazardous Waste Disposal Records	This series documents the receipt, shipment, and disposal of chemical material or hazardous wastes on campus. Land Disposal Restriction Form" 40 CFR 268.7 Exempt Lab Packs" 40 CFR 268.7 (2)(9). 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						Does not include radioactive materials.SEE 5.4 # 403.	
638 EN	5.4	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 = Expiration of permit.			



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639 EN	5.4	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 = Expiration of permit.			
640 FM	5.4	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							
641 DE	5.4	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 = After separation for records documenting persons contacting or removing hazardous materials.			



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642 DE	5.4	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. 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 = After separation for records documenting persons contacting or removing hazardous materials.			
683 EN	5.4	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 response including plans.	CE	3					Government Code Title 4, Subtitle B, Chapter 418, Subchapter H, Section 418.178 prohibits release via freedom of information requests.	
693 EN	5.4	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					25 TAC 289.301(ee) requires 5 year retention.(Registration and Radiation Safety Requirements for Lasers and Intense-Pulsed Light Devices).	25 TAC 289.301(ee)



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694 EN	5.4	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 = 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.	25 TAC 289.301(ee)
315 IMS DE	5.5.001	Billing Detail - Telecommunications (Other than TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long distance calls.	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.	
321 DE	5.5.002	Long Distance Telephone Logs	Long distance logs created by agencies for internal documentation purposesIncludes any similar logs created for long distance facsimile or electronic transmissions.	AV						SEE Departmental Caution Statement.	
103 DE	5.5.003	Station Activity Reports	Internal listing of all incoming/outgoing telephone activity to individual telephone stations.	AV							



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					Years	Months	Days				
320 N/A	5.5.004	System Activity Reports	Internal listing of all incoming/outgoing university telephone activity.	AV						UTHSCSA currently does not have this kind of report.	
316 IMS	5.5.006	Billing Detail - Telecommunications (TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long distance calls.	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.	
318 IMS DE	5.5.007	Disputed Call Documentation	Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal log distance use.	FE	3						
317 IMS	5.5	Communication Tapes and Printouts	Tapes and printouts of incoming and outgoing telephone and radio communications.				30			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.	



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129 FM	5.6.003	Inspection, Repair and Maintenance Records - Vehicles	Police vehicles and apparatus	LA	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	
324 UPO	5.6.004	License and Driving Record Checks		AC				AC = Until superseded or until termination of employment.			
137 FM	5.6.005	Vehicle Use Reports	Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	FE	3					Operations logs - vehicles now included in this record.	
44 AC	5.6.007	Vehicle Titles and Registrations		LA							
326 UPO	5.6.009	Parking Permits or Assignments	Includes also parking waivers, parking salary deduction agreements, parking waiting lists.	US						SEE 3.2.001 for parking salary deduction authorizations held by Payroll, which are kept for AC+4.	
611 UPO	5.6	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: type and identification number, name of party using the vehicle, notation of condition before and after use, and authorizing signatures.		2						





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327 UPO	6.1	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					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.	
329 UPO	6.1	Police Fingerprint Cards and Other Biometric Identifiers		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	6.1	Police Incident Reports	Non-criminal incidents the department investigates.		3					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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331 UPO	6.1	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					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	6.1	Special Events Parking Information/Work Sheets			3						
490 UPO	6.1	Security/Safety Notices and Warnings		AC			30	AC = Date security problem corrected.			
491 UPO	6.1	Building Access Control Records - Employee	This series controls access to specific buildings, departments, rooms or areasThis 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						



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492 UPO	6.1	Vehicle Assistance Records	Includes jumper cable service, unlocking doors, etc.		1						
516 UPO	6.1	Citations Warnings		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	6.1	Traffic Citation Appeals		AC	1			AC = resolution of appeal.			
520 UPO	6.1	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						



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612 UPO	6.1	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					Retention reflects UTHSCSA practice. 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.	
613 UPO	6.1	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 = Termination of employment.			
614 UPO	6.1	Personnel Background Information for Commissioned Police - Not Hired	Requests for, and results of, criminal and other background checks and information on applicants.		3						
615 UPO	6.1	Personnel Background Information for Civilian Police - Hired	Requests for, and results of, criminal and other background checks and information on employees.	AC	5			AC = Termination of employment.			
616 UPO	6.1	Personnel Background Information for Civilian Police - Not Hired	Requests for, and results of, criminal and other background checks and information on applicants.		3						



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617 UPO	6.1	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 = 90 days after the date of the incident for Class C misdemeanors; 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.	
618 UPO	6.1	Surveillance Video Tapes	Consists of surveillance video tapes created to monitor activities occurring within and outside of institutional buildings.				30			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.	
619 UPO	6.1	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					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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620 UPO	6.1	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						
668 UPO	6.1	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					Retention based on Local Schedule PS - Retention Schedule for Records of Public Safety Agencies - as recommended by UT System Police Director's Office.	
669 UPO	6.1	DWI Video Tapes - Charges Not Filed	Video and audio tapes of persons detained for possible DWI violations when charges are not filed.	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	6.1	DWI Video Tapes - Charges Filed	Video tapes of persons detained for possible DWI violations when charges are filed.	AC				AC = 90 days after the date of the stop for Class C misdemeanors; 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	



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671 UPO	6.1	Criminal History Master File	Records tracking inquires for the receipt of information, including criminal histories.	AV						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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690 UPO	6.1	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						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 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	



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691 UPO	6.1	Police Incident Reports - Juvenile	Non-criminal incidents the department investigates that involve juveniles.	AC				AC = Destroy immediately for non-referred cases.		For referred cases, destroy when juvenile reaches the age of 18.	Family Code 58.001(c).
130 OSP DE	7.1	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 = 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.		Office of Sponsored Programs responsible for keeping contract information. Departments keep data and documentation. Includes both federal and nonfederal 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.	21 CFR 312.57.





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131 OSP	7.1	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 = 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	7.1	Certificate of Veterinary Inspection		AC	3			AC = Death of animal or transfer to another institution.			
200 LA	7.1	Disposition or Transport of Animals FormsIncludes APHIS (Animal, Plant and Health Inspection Services) Form 7020 and Laboratory Animal Resources form Request for Transfer of Experimental Animals		AC	3			AC = Death of animal or transfer to another institution.			



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201 LA	7.1	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 = Death of patient or date of last visit.			
202 LA	7.1	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 = Death of animal or transfer to another institution.			
203 LA	7.1	USDA Animal Tags		AC	1			AC = Death of animal or transfer to another institution.			
204 LA	7.1	USDA Inspection Reports			3						
205 LA	7.1	USDA Report of Acquisition		AC	3			AC = Death of animal or transfer to another institution.			
370 RE	7.1	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					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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376 OSP	7.1	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 = 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.	
377 OSP	7.1	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 = Date of notification of non-funding.			



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378 OSP	7.1	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 = Date of cancellation.			



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433 IR DE	7.1	Human Research Protocols		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 development protocol.	



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					Years	Months	Days				
540 DE	7.1	Research Findings - Non-medical		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.	
643 DE	7.1	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 = After notification.			
688 OSP	7.1	Teaming Agreements (for participation in federal/non-federal proposal which may result in award)		AC				AC = As long as grant or contract records involving agreement are kept.			
692 LA	7.1	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 = Death of animal or transfer to another institution and card scanned out of barcode system.			



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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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695 LA	7.1	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					Keep records at least 5 years for AALAC (American Association for Laboratory and Animal Care) accreditation purposes. May keep longer after that if needed.	
87 DE	8.1	Medical Research Findings (excluding published works)	Research Participant Records and other grant data.	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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					Years	Months	Days				
111 DS	8.1	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 = 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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335 CL	8.1	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 mayinclude, 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 =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.		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 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).	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.
411 DE	8.1	Consulting Records	Background information, prepared documents used in support of consulting services provided by faculty for MSRDP, DSRDP.	AV							



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467 DE	8.1	Consent Forms for Research - Adults	A record of permission supplied by adult subjects to participate in a research program.	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."	
468 DE	8.1	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 = 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."	



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486 CL	8.1	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 = 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 11.1.5. SEE record # 666 in the Student Records section for student records.	



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496 CL DS	8.1	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					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.	



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507 DE	8.1	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						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 <a href="http://www.cap.org">http://www.cap.org</a> , 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 (Donor Records -Medical) and are kept permanently.	



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510 CL DS	8.1	Patient Needs Risk Assessment (Screening Forms)			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	8.1	Orthodontic Models	Dental Casts	AC	10			AC = Completion of treatment.			
512 CL DS	8.1	Consent for Photography		US						May be filed with patient medical record or with Consent Form for Research, as appropriate.	
513 CL DS	8.1	Patient Authorization for Release of Health Records		US						May be filed with patient medical record or Consent Form for Research, as appropriate.	
622 CL DS	8.1	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						



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623 CL DS	8.1	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 = 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.	
624 CL DS	8.1	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; inhouse computer-generated Rx registers; controlled substance reports; and data base purge reports.	AC				AC = 2 years after date of initial dispensing or last refilling, whichever later.		SEE ALSO 5.4.009 for Controlled Substances Drug Logs. NOTE: 37 TAC 13.207 includes specific requirements for prescription records maintained in a data processing system.	Health and Safety Code Sec. 481.075(f)(2) and (l)(2), and 483.023.
625 DE	8.1	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							



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					Years	Months	Days				
626 CL DS DE	8.1	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			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.	
627 CL DS	8.1	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 = 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.	





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629 CL	8.1	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,	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.	
630 CL DS	8.1	Source Data - Medical	This records series includes health information stored in any original mediaExamples of Source Data include, but are not limited to, paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, 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 = 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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632 CL DS DE	8.1	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						
633 CL DS	8.1	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						



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636 PC	8.1	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 = 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 require 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.	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
677 CL	8.1	Referral Letters and Records for Patients Never Seen at UTHSCSA Clinics	Includes all correspondence and medical records.		1						



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					Years	Months	Days				
681 DE	8.1	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 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 future hospital privileges.		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 Policy2.1.19.	
682 DE	8.1	Resident Physician Evaluations/Procedure Logs - Formative	Created during the periods of trainingEvaluations are completed by attending physicians, peer physicians, supervising physicians, residents, or medical studentsIncludes evaluative comments regarding clinical knowledge, skills, interpersonal relationships, and personal/professional characteristics.	AC				AC = End of training.		Records are confidential unless permission is given by trainee.GME Policy2.1.19.	



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685 CL	8.1	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 = 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).	
687 DE	8.1	Morbidity & Mortality (M&M)	Records for Residency ProgramsThis record series includes peer-reviews of clinical operations.	AV						A 3 year retention period is recommended by Clinical Affairs and GME (Graduate Medical Education).	



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336 CL DS	8.2	Payment Waivers/Adjustments	Patient billing accounts that have been written offRecords may include, but are not limited to, payment waivers for prescriptions and co-pays, teaching case waivers, insurance explanation of benefits (EOB).		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	8.2	Billing Records - Medical	Provides itemized billing record for medical services rendered.		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	
339 CL DS	8.2	Charge Documents - Encounter Forms	This series consists of documents submitted by the university for the purpose of billing patients' insurance companies and agencies.		7					These records as used aspaper backup to electronic billing records system (SEE Agency Item Number 338 under Patient Billing).	
509 CL DS	8.2	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						
634 CL DS	8.2	Refunds - Patient/3rd Party	Requests for refunds with supporting documentation. May include patient information.	AC	2			AC = After closed.		These records as used aspaper backup to electronic billing records system (SEE Agency Item Number 338 under Patient Billing).	



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635 CL DS	8.2	Claims - Patient/3rd Party	Requested payment for patient 3rd party claims with supporting documentation. May include patient information	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).	
68 DN RG	9.1	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.	AC	5					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.	
252 RG	9.1	Class Rosters	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					I	Converted to electronic Spring 2001. Before Spring 2001 microfilmed.	
253 FSP	9.1	Class Schedules - Institutional (room assignments)		AC	1			AC = end of academic year.		Records are kept electronically in the R25 database.	



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255 AFS	9.1	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						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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260 DE	9.1	Course Contents/Syllabi	Formerly called Course Material. This record series contains faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	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.	
265 IE	9.1	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.	PM					I	Formerly called Degree Statistics. Replaces records for Degree, Enrollment, Grade, and Racial/Ethnic statistics.	



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267 DN	9.1	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			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 withdraw of diploma are retained permanently.	
274 RG DE	9.1	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	AC				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.			
275 AFS	9.1	Financial Aid Assistance Records		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.	



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280 RG	9.1	Grade Reports	The series documents grades received by students for the term.	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	9.1	Graduation Authorizations		AC	1			AC = Graduation or date of last attendance.			
286 RG DE	9.1	Transcript Hold	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 = Release of the hold authorization.			
289 CL	9.1	Medical Records - Student	Medical records created while the student is attending the institution or submitted as part of the student application.	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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290 RG	9.1	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					Retention reflects UTHSCSA practice.	
303 RG	9.1	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.	AC	6			AC = After Submission TEC §54.052			
310 RG	9.1	Transcript Request Forms		AC	1			AC = Date of Request			
312 BU	9.1	Tuition and Fee Charges		AC	5			AC = Graduation or date of last attendance.			



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313 AFS	9.1	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			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.	



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369 DE	9.1	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 = 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. Master copies of course exams may additionally be kept with the record series Course Content/Syllabi, # 260 in this section.	
384 DE	9.1	Postdoctoral Training Records			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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385 DN DE	9.1	Continuing Medical Education (CME), Continuing Dental Education (CDE), Continuing Nursing Education (CNE) Class Records			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.	
410 DE	9.1	Student Rotations Documents	Includes schedules, information packets, tests, evaluations, applications (for foreign and visiting US students).	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.	



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440 DI	9.1	Pharm D Student Records	Includes rotations in Pharmacotherapy Education Research Center (PERC), assignments to clinical rotation sites, rotation evaluations.	FE	5						
446 AFS DN	9.1	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.	AC	10			AC = student graduates, transfers to another program, or permanently leaves program.		Deans are responsible for keeping grade appeals for AC+10.	
463 DE	9.1	Student Travel Information and Release Forms		AC	1			AC = Travel completed.			
464 DN DE UPO	9.1	Student Travel Authorizations		AC	1			AC = Travel completed.			





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479 DE	9.1	Continuing Education Class Records Other than Medical, Dental, or Nursing			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.	
487 DN DE	9.1	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					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.	



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488 DE	9.1	Student Dental Procedures Records	Includes student grading information on dental procedures and patient treatment information needed to evaluate student.	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	9.1	Dean's List			5						
526 DN	9.1	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 = Graduation from UTHSCSA or date of last attendance.		These are not criminal history checks from the DPS.	
541 DE	9.1	Student Dental Achievement Records		AC	5			AC = Graduation from UTHSCSA or date of last attendance.			



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544 DE	9.1	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			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	9.1	Honors/Awards	This records series provides a historical record of any academic honors and/or awards given to students.		75						
647 DE	9.1	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 = Graduation date or date of last attendance.			



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648 DE	9.1	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						
649 AFS	9.1	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						The Student Life office handles liability insurance policies for students.	
650 DN DE	9.1	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 = After completion of application process.			
651 DN DE	9.1	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						



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					Years	Months	Days				
652 CDO DE	9.1	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					I	Security is open with restrictions.	
654 OIS	9.1	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.	AC	1			AC = After failure to enroll.			



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655 DE	9.1	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-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.		7					Portions of these records may be exempt from public disclosure.	



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656 DE	9.1	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-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.		2					Portions of these records may be exempt from public disclosure.	



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657 RG	9.1	Visitor Forms.	Visitors/student visitors are defined as being on campus for educational training or collaborative purposes.	AC	1			AC = After Completion.		The Registrar's Office only retains visitor forms. SEE # 487 Internship Program Records under the section 9.1 for other records for visiting students.	
658 DE Archives	9.1	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.	PM					I	The Department retains the original copies of Copyright Disclaimers, Listings of Schools, Reports on Final Oral Examination, Requests for Final Oral Examination, Recommendations for Approval of Dissertation/Thesis Research Proposal and Supervising Committee, Notifications of Admission to Candidacy, and Petitions for Admission to Candidacy. Copies of theses and dissertations are retained by departments and the library. ARCHIVES NOTE: Official copy is offered to archives, special collections or library.	





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659 AFS	9.1	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 taskforce records; Student Senate bill and resolution files; budgets; handbooks; officer and member rosters; scrapbooks; photographs; and related documentation and correspondence.	AC				AC = Life of the organization.	O	Records are kept in the Student Life Office.	
661 DE	9.1	Course Evaluations	This records series consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	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).	29 CFR 1620.32(c).



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662 RG DE	9.1	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.	AC	75			AC = After graduation or last day of attendance.		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.	
663 RG	9.1	Admissions Records - Non-Matriculates	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 = 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 DE	9.1	Admissions Report	This series provides summary information relating to student admission programs which may be used for control, planning or review.	PM					I		
665 RG	9.1	Academic Transcripts	A record of the academic history of a student in terms of the courses taken, grades, academic honors, degree, and/or certificate earned.	PM				PM=Permanent.			



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666 CL	9.1	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 = After last contact.		These student records are retained by the Counseling Service Office.	
673 RG	9.1	Degree Audit Records	Documents student completion of degree requirements, including authorizations certifying completion of degree requirements.	PM						Many records in this series are kept permanently elsewhere as part of the student's academic transcript. SEE # 665 under 9.1.	
674 RG	9.1	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; and appropriate evaluation of work completed; Name Change Record.	AC	6			AC = After graduation or last day of attendance.		Honor & Degree not part of Student Academic Records. Reference moved to Academic Transcript.	



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675 RG	9.1	Enrollment or Registration Records	This series documents the semester/academic year enrollment of students on an individual and an institutional basis.	AC	6			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 Archives	9.1	Catalogs - Student Records		PM					I	ARCHIVAL NOTE: One copy to be retained in University Archives.	
707 OIS	9.1	International Exchange Visitor Records – J-1 Exchange Visitor/Student		AC	5			AC = Date of Exchange Visitor Program completion or from the end of the Academic Training phase, whichever is later.			
708 OIS DN	9.1	International Exchange Visitor Records – J-1 ECFMG		AC	5			AC = Date of academic program completion or end of F-1 OPT phase, including OPT STEM extension.			



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709 OIS DE	9.1	International Exchange Visitor Records – F-1 Student	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	5			AC = Date of academic program completion or end of F-1 OPT phase, including OPT STEM extension.			
714 RG Archives	9.1	Commencement Programs		AC				AC=After commencement events.	I	Commencement programs and other records and artifacts are transferred to University archives and retained permanently.	