



July 13, 2012

Mr. William Dodd
Director of Purchasing and Records Management
UT at Brownsville
80 Fort Brown
Brownsville, TX 78520

Re: UT at Brownsville
6th Recertification, Amendment Number 1

Dear Mr. Dodd:

Enclosed are approved amendment pages to your records retention schedule. Please maintain these pages with your currently approved schedule so that they can be easily referenced.

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

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

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please call the information analyst assigned to your agency, Angela Ossar, at 512-463-6623.

Sincerely,

Craig Kelso
Director and State Records Administrator

Enclosure

cc: State Auditor, State Archivist
cc: (without enclosure) Juliet V. Garcia

State and Local
Records Management

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

4400 Shoal Creek Blvd.
Austin, Texas
78756

www.tsl.state.tx.us

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Director and Librarian
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R01-747/747



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 747

Agency Name OTB/TSC

(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

Handwritten signature of William Day

Name (Print or type)

William Day

Date

6-27-2012

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office

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

Signature

Name (Print or type)

Date

Not Required at This Time

Texas State Library and Archives Commission

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

Signature

Name (Print or type)

Date

Handwritten signature and name of Peggy D. Rudd, dated 7/11/12

Cert/Recert No.

6

Amendment No.

1

CAUTION

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

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.





July 2, 2012

Mr. William Dodd
Director of Purchasing and Records Management
UT at Brownsville
80 Fort Brown
Brownsville, TX 78520

RE: UT at Brownsville
Retention schedule approved for use.

Dear Mr. Dodd:

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

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

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

Your efforts in maintaining an up-to-date records retention schedule are appreciated. It not only helps to ensure the integrity of your recordkeeping practices, but it is also essential to the success of your records management program. Your schedule will be due for recertification on the last working day of June 2015. If you have any questions, call the information analyst assigned to your agency, Angela Ossar, at 512-463-6623.

Sincerely,

Craig Kelso
Director and State Records Administrator

Enclosure

cc: State Auditor, State Archivist
cc: (without enclosure) Juliet V Garcia

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R01-747/747



Texas
State Library
and Archives
Commission

STATE OF TEXAS

Records Retention Schedule Certification

SLR 105C

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

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 747
 Agency Name The University of
Texas at Brownsville

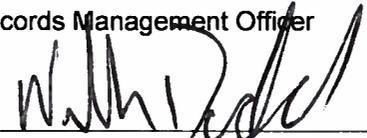
(Check one)

- 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)* William Dodd

Date 2/9/2012

Section 2. Approvals

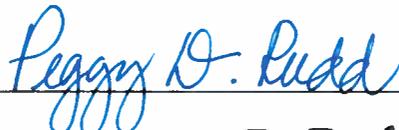
(Submitting agencies do not write in this section)

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

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

Not Required at This Time

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

Signature 
 Name *(Print or type)* Peggy D. Rudd
 Date 6/28/12

Cert/Recert No. 6 Amendment No. _____

RECORDS RETENTION SCHEDULE

FOR

THE UNIVERSITY OF TEXAS AT BROWNSVILLE

&

Texas Southmost College

2012

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**STUDENT RECORDS
ADMISSIONS DATA/ DOCUMENTS FOR APPLICANTS DO NOT ENTER
WHETHER ACCEPTED OR REJECTED**

1. Although the retention period recommended for the documents listed above is one year, federal legislation, state statutes, or institutional policy may dictate otherwise. The federal legislation which governs these records is as follows:

Veterans Administration regulations require that all recruitment materials be retained three years.
2. Records for applicants who do not enter are not covered by FERPA.
3. Some documents from institutions in other countries may be originals and therefore difficult or impossible for the applicant to replace. The records custodian may want to return these documents to the applicant rather than destroying them.

STUDENT RECORDS ADMISSIONS DATA/ DOCUMENTS FOR APPLICANTS WHO ENTER

1. The retention periods recommended are based on the following:
 - a. The forms are maintained in individual student folders and are retained no longer than five years after graduation or date, term, or semester and year of last attendance.
 - b. Uniform retention periods allow for the destruction of the entire folder which will save considerable sorting.
 - c. Essential data will be recorded on academic records which are retained permanently.
2. Family Educational Rights and Privacy ACT (FERPA) states that letters of recommendation not accompanied by waivers are retained beyond their intended use may be viewed by the student. As a consequence, it is recommended that these letters be destroyed after admission of the student. Waivers of rights of access filed with letters of recommendations should be retained as long as the file is retained. Students who revoke their waivers of rights of access may not see letters of recommendation during the time the waivers were in force.
3. The Veterans Administration (VA) regulations state that the following student records must be retained for at least three years after termination of enrollment:
 - a. Previous education or training (transcripts from other colleges).
 - b. Evidence of formal admission (acceptance letters). The regulations state that longer retention will not be required unless a written request is received from the General Accounting Office or the VA no later than 30 days prior to the end of the three-year period.

**STUDENT RECORDS
ADMISSIONS DATA/ DOCUMENTS FOR APPLICANTS WHO ENTER**

4. Educational Institutions which participate in federal, state, and private programs of low- interest loans to students must retain student records of admissions and placement for five years after graduation or withdrawal. In the event of an open audit, records must be retained until all questions are resolved.
5. Some documents from institutions in other countries might be originals and therefore difficult for the applicant to replace. The records custodian may want to return these documents to the applicant rather than destroying them.

STUDENT RECORDS REGISTRATION AND RECORDS DATA/ DOCUMENTS

1. Any record recommended for permanent retention should be microfilmed for security even if the originals are retained. The original microfilm should be stored and secured in an off-site location.
2. The recommended five-year retention period noted in the schedule begins with the date of graduation or the date, term, or semester and year of last attendance.
3. The Family Educational Rights and Privacy Act (FERPA) specifically requires institutions to maintain records of requests and disclosures of personally identifiable information except for defined “directory information” and requests from students for their own records. The records of disclosures and requests for disclosures are considered part of the students’ educational records; therefore, they must be retained as long as the educational records to which they refer are retained by the institution.
4. The Veterans Administration (VA) regulations state that the following records must be retained at least three years after termination of enrollment:
 - a. Grade reports and/or statements of progress (academic records)
 - b. Change of course forms
 - c. Transfer credit evaluations
 - d. Degree audit records

VA regulations require that all advertising, sales, and enrollment materials (e.g. catalogs and brochures) used by or on behalf of the institution be retained three years after the termination of a veteran’s enrollment. In addition, records of tuition and fees charged to and collected from students, grade reports and statements of progress (academic records), and previous education and training documents (transfer credit evaluations) must be retained for three years.

STUDENT RECORDS REGISTRATION AND RECORDS DATA/ DOCUMENTS

5. Educational institutions which participate in federal, state, and private programs of low-interest loans to students must retain for five years after graduation or withdrawal students' records records of academic progress, attendance, and courses studied. In the event of an open audit, records must be retained until all questions are resolved.
6. Although student records created and maintained by medical and dental schools are usually narrative assessments of academic progress or clinical practice, for purposes of this retention schedule, such records are in the same category as the academic record.
7. The Immigration and Naturalization Service (INS) states that the school must keep a record used to comply with the reporting requirements for at least one year. Since many items included in foreign students' records are to be retained at least five years, it is recommended that INS documentation also be retained 5 years.

The source of information and retention periods listed in the Student Records section of this records retention schedule is the American Association of Collegiate Registrars and Admissions Officers' 2010 publication, "Retention of records: Guide for Retention and Disposal of Students Records."

NOTES USED IN REMARKS COLUMN

Note 1- PERSONNEL RECORDS

- a. The Employees' entire personnel file is to be retained at least 5 years after separation.
- b. Information to be maintained in employee personnel files for a period of fifty years after retirement:
 1. Teacher Retirement, Optional Retirement, and Insurance beneficiary information
 2. Optional Retirement Program Acknowledgment
 3. Optional Retirement Program Company(s) in which the retiree has contributions
 4. Appointment and salary history (minimum information needed to verify employment, including name, social security number, date of birth, exact dates of employment, and last known address)
- c. Information to be maintained in employee personnel files for a period of fifty years after termination:
 1. Optional Retirement Program Acknowledgment
 2. Appointment and salary history (minimum information needed to verify employment, including name, social security number, date of birth, exact dates of employment, and last known address)
- d. Former Employee Verification Records to be maintained AC+75. Minimum information needed to verify employment, includes name, social security number, exact dates of employment, and last known address.

Note 2- Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule). Retention Requirements may vary in the Code of Federal Regulations for a specific founding source.

CODES USED IN THE RECORDS RETENTION SCHEDULE

RETENTION CODES:

AC- After Closed (or terminated, completed, expired, or settled): The record is related to a function or activity with a finite close date

CE- Calendar Year End: December 31

FE- Fiscal Year End: August 31

LA- Life of Asset: The record is retained until the disposal of the asset.

PM- Permanent: The record is considered to be so valuable or unique that it is to be preserved permanently.

US- Until Superseded: The record is replaced by an updated version.

AV- As Long as Administratively Valuable: AV - As Long as Administratively Valuable: The immediate purpose for which the record was created has been fulfilled and any subsequent need for the record to conduct the operations of the agency, if any, has been satisfied.

ARCHIVAL CODES:

I - Retain in University Archives

O - Review required before disposal.

DEFINITION OF TERMS

ARCHIVAL RECORDS - Records retained permanently for their lasting historical value and used for research and reference by university officials and the general public.

RECORDS CENTER - Stores records for university offices on a temporary basis. Not a permanent storage facility.

RECORD COPY - The document kept on file as the original or official record. Distinct from the “working copy” or “convenience copy,” which is a non-original copy used for general information purposes.

RECORD SERIES - Group of identical or related records that are normally used and filed as a unit, and are evaluated as a unit for retention scheduling purposes.

RETENTION PERIOD - The amount of time a record series must be retained before final disposition or destruction.

VITAL RECORDS - Records essential to continue an organization, to recreate a component’s financial or legal position and those that preserve the rights of employees and citizens. Records series commonly regarded as vital are designated.

RECORDS RETENTION SCHEDULE
The University of Texas at Brownsville and Texas Southmost College

CAUTION STATEMENT:

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

**THE UNIVERSITY OF TEXAS AT BROWNSVILLE AND TEXAS SOUTHMOST COLLEGE
RECORDS RETENTION SCHEDULE**

Agency Code 747

Record Series Item	Agency Item Number	Record Series Title	Retention Period			Archival	Remarks	106 No.	TSLAC ONLY Amend. No.
			Office	Storage	Total				
1.1		<u>Administrative Records - General</u>							
1.1	1 UTB	AFFILIATION AGREEMENTS.	AC	4	AC+4		AC= Expiration or termination of the agreement according to its terms.		
1.1	2 UTB	DEGREE PROPOSALS.	PM		PM				
1.1	3 UTB	DEEDS AND OTHER LEGAL DOCUMENTS REFLECTING LEGAL TITLE.	LA		LA				
1.1	4 UTB	GIFTS RECORDS OR DONOR FILES.	PM		PM	I			
1.1	5 UTB	PATENTS TRADEMARKS, COPYRIGHTS & DOCUMENTATION (e.g., Research records, reflecting usage and the like)	AC	20	AC+20		AC= RECEIPTS OF PATENT, TRADEMARK, OR COPYRIGHT		
1.1	6 UTB	SPONSORED GRANTS AND CONTRACTS.	AC	5	AC+5		AC= TERM OF GRANT OR CONTRACT		
1.1	7 UTB	SURVEYS, REPORTS, QUESTIONNAIRES MANDATED.	AC	5	AC+5		AC= Purpose of record has been fulfilled.		
1.1	8 UTB	SURVEYS, REPORTS, QUESTIONNAIRES, VOLUNTARY.	AC	1	AC+1		AC= Purpose of record has been fulfilled.		
1.1.002	9 UTB	AUDITS-INTERNAL AUDIT REPORTS - Audits and reviews performed by or on behalf of agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	14	AC+14		AC= Publication or release of final audit findings. The State Auditor's Office retains any copies of its audits performed on Texas state agencies.		
1.1.004	10 UTB	LEGISLATIVE APPROPRIATION REQUESTS - Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC	6	AC+6	I	AC= September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the request to the Texas State Publications Depository Program, Texas Library and Archives Commission. NOTE: Only copies of supporting documentation submitted to the Legislative Budget Board are archival.		
1.1.006	11 UTB	COMPLAINT RECORDS - Complaints received by the agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC	3	AC+3		AC= Final disposition of the complaint. CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048 (Litigation Files)		

RETENTION CODES

AC- After Closed, Terminated completed, Expired, Settled.
FE- Fiscal year End
LA- Life of Asset
CE- Calendar Year End

ARCHIVAL CODES

I -Retain in University Archives
O -Review required before disposal.

AV- As long as administratively valuable
PM- Permanent
US- Until Superseded

**THE UNIVERSITY OF TEXAS AT BROWNSVILLE AND TEXAS SOUTHMOST COLLEGE
RECORDS RETENTION SCHEDULE**

Agency Code 747

Record Series Item	Agency Item Number	Record Series Title	Retention Period			Archival	Remarks	106 No.	TSLAC ONLY Amend. No.
			Office	Storage	Total				
1.1.006	12 UTB	WHISTLE BLOWING - Reports of suspected compliance violations and records pertaining to the resolution of the report	AC	3	AC+3		AC= Final disposition of complaint if complaint becomes the subject of litigation in the office of the General Counsel. If the complaint does not become part of a ligation, the files will be retained for a minimal of 3 years after the report is closed.		
1.1.007	13 UTB	CORRESPONDENCE-ADMINISTRATIVE - Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.	3	0	3	O	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 agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by 1.1.004; a letter concerning an audit for that item number prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.		1
1.1.008	14 UTB	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 an agency.	1	0	1		See comment on item number 1.1.007 (Correspondence-Administrative) SEE ALSO item number 1.1.010 (Directives).		1
1.1.010	15 UTB	DIRECTIVES - Any document that officially initiates, rescinds,or amends general office procedures.	US	1	US+1				
1.1.011	16 UTB	EXECUTIVE ORDERS - Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.	US	5	US+5	I			
1.1.013	17 UTB	CALENDARS, APPOINTMENT BOOKS, AND ITINERARY RECORDS - Calendars, appointment books or programs and scheduling, or itinery records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.	CE	1	CE+1	O	CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document this or her work activities may be a state record and subject to this retention period. ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected official, executive staff, board or commission members, division directors, and programs head require achival review.		

RETENTION CODES

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**THE UNIVERSITY OF TEXAS AT BROWNSVILLE AND TEXAS SOUTHMOST COLLEGE
RECORDS RETENTION SCHEDULE**

Agency Code 747

Record Series Item	Agency Item Number	Record Series Title	Retention Period			Archival	Remarks	106 No.	TSLAC ONLY Amend. No.
			Office	Storage	Total				
1.1.014	18 UTB	LEGAL OPINIONS AND ADVICE - From agency legal counsel or the Attorney General, including any request eliciting the opinions. Legal opinions and advice from legal counsel.	AV		AV	O	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048.		
1.1.019	19 UTB	PUBLIC RELATIONS RECORDS - News, press release, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.	2	0	2	O			
1.1.020	20 UTB	PUBLIC INFORMATION REQUESTS - NOT EXEMPTED Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code)	AC	4	AC+4		AC= Date request fulfilled		
1.1.021	21 UTB	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	4	AC+4		AC= Date of notification that records are exempt.		
1.1.023	22 UTB	ORGANIZATION CHARTS.	US		US	I			
1.1.024	23 UTB	PLANS AND PLANNING RECORDS - Plans and records relating to the process of planning new or redefined programs, services or projects of an component that are not included in or directly related to other records series in this schedule.	AC	3	AC+3	O	AC= Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.		
1.1.026	24 UTB	TEXAS REGISTER SUBMISSIONS - Copies of all proposed, withdrawn, emergency, and adopted rules; open meetings notices; or any other documents required by law to be submitted to the Texas Register.	AC	1	AC+1		AC= Date of publication in the Texas Register.		
1.1.040	25 UTB	SPEECHES, PAPERS AND PRESENTATIONS - Notes or text of speeches, papers, or reports delivered in conjunction with agency work.	AC		AC	O	AC= End of term in office or termination of service in a state position.		
1.1.041	26 UTB	SUGGESTION SYSTEM RECORDS - Suggestions submitted by agency personnel and responses.	1	0	1				

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**THE UNIVERSITY OF TEXAS AT BROWNSVILLE AND TEXAS SOUTHWEST COLLEGE
RECORDS RETENTION SCHEDULE**

Agency Code 747

Record Series Item	Agency Item Number	Record Series Title	Retention Period			Archival	Remarks	106 No.	TSLAC ONLY Amend. No.
			Office	Storage	Total				
1.1.043	27 UTB	TRAINING MATERIALS - Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US	1	US+1				
1.1.048	28 UTB	LITIGATION FILES - Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC	20	AC+20	O	AC= As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit. ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the University Archivist for archival preservation.		
1.1.053	29 UTB	REGISTRATION LOGS - Logs or similar records used to register persons appearing before state agencies as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission.	AC		AC		AC= Report filed with the Texas Ethics Commission.		
1.1.055	30 UTB	STRATEGIC PLANS - Information resources and operational strategic plans prepared in accordance with §2054.095 and §2056.002, Government Code.	AC	6	AC+6	I	AC= September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirements is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.		
1.1.056	31 UTB	ADA (AMERICAN WITH DISABILITIES ACT) DOCUMENTATION - Self evaluations and plans documenting compliance with the requirements of the Americans With Disabilities Act.	3	0	3		28 CFR 35.105(c)		

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**THE UNIVERSITY OF TEXAS AT BROWNSVILLE AND TEXAS SOUTHWEST COLLEGE
RECORDS RETENTION SCHEDULE**

Agency Code 747

Record Series Item	Agency Item Number	Record Series Title	Retention Period			Archival	Remarks	106 No.	TSLAC ONLY Amend. No.
			Office	Storage	Total				
1.1.057	32 UTB	TRANSITORY INFORMATION - Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an on-going records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of a agency 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 agency transaction.	AC		AC		AC= Purpose of record has been fulfilled. CAUTION: : Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction signoffs (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing management plan (1.2.014).		
1.1.058	33 UTB	MEETING AGENDA AND MINUTES - Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.	PM		PM	I	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. ARCHIVES NOTE: Agency retains permanent record copy. The archival requirement will be met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission.		
1.1.059	34 UTB	MEETINGS, CERTIFIED AGENDAS OR TAPE RECORDINGS OF CLOSED - Certified agendas or tape recordings of closed meetings of state boards, commissions, committees, and councils.	AC	2	AC+2		AC= The date of the meeting or completion of pending action involving the meeting, whichever is later. Government Code, Section 551.104(a). SEE caution comment at item number 1.1.058.		

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			Office	Storage	Total				
1.1.060	35 UTB	MEETINGS, AUDIO OR VIDEOTAPES OF OPEN - Audio or videotapes of open meetings of state boards, commissions, committees, and councils.	AC	90 days	AC+90 days		AC= Official approval of written minutes of the meeting by the governing body of an agency. CAUTION: Minutes of state agencies are permanent records. Audio and videotapes are not permanent media. State agencies may not retain audio or videotapes of the meetings of governing bodies in lieu of written minutes. The proceedings of all meetings of state boards, committees, writing. SEE ALSO caution comment at item number 1.1.058.		
1.1.061	36 UTB	MEETING-NOTES - Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC	90 days	AC+90 days		AC= Approval of the formal minutes by the governing body. SEE caution comment at item number 1.1.058		
1.1.062	37 UTB	MEETING-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	0	2	I	SEE caution comment at item number 1.1.058		
1.1.063	38 UTB	STAFF MEETING MINUTES AND NOTES - Minutes or notes, and supporting documentation, taken at internal agency staff meetings.	1	0	1				
1.1.064	39 UTB	AGENCY PERFORMANCE MEASURES DOCUMENTATION - Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE	3	FE+3		CAUTION: The FE + 3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.		
1.1.065	40 UTB	REPORTS AND STUDIES (NON-FISCAL) - RAW DATA - Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV		AV		CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. SEE especially item number 1.1.064.		

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Record Series Item	Agency Item Number	Record Series Title	Retention Period			Archival	Remarks	106 No.
			Office	Storage	Total			
1.1.066	41 UTB	REPORTS - BIENNIAL OR ANNUAL AGENCY (NARRATIVE) - Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute.	AC	6	AC+6	I	AC= September 1 of odd-numbered calendar years. ARCHIVES NOTES: The archival requirement is met by sending the required copies of the reports to the Texas State Publications	
1.1.067	42 UTB	REPORTS AND STUDIES (NON-FISCAL) - Annual, Sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	0	3			
1.1.068	43 UTB	REPORTS ON PERFORMANCE MEASURES - Quarterly and annual reports on agency performance measures submitted to the executive and legislative offices.	AC	6	AC+6		AC= September 1 of odd-numbered calendar years.	
1.1.069	44 UTB	REPORTS - ACTIVITY - Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contracts, and similar activities	1	0	1		CAUTION: SEE item number 1.1.064	
1.1.070	45 UTB	AGENCY RULES, POLICIES, AND PROCEDURES - FINAL - Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3	AC+3	O	AC= Completion or termination of program, rules, policies, or procedures. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071.	

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1.1.071	46 UTB	AGENCY RULES, POLICIES, AND PROCEDURES - WORKING FILES-Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3	AC+3	O	AC = Completion or termination of program, rules, policies, or procedures. SEE ALSO Records Series Item Number 1.1.070.		
1.2		<u>Administrative Records - Records Management</u>							
1.2.001	47 UTB	DESTRUCTION AUTHORIZATIONS - Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE	3	FE+3				
1.2.003	48 UTB	FORMS HISTORY FILE - Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	AC	1	AC+1		AC= Discontinuance of use of form.		
1.2.004	49 UTB	FORMS INVENTORY - Any periodic listing of all forms used internally or externally by an agency.	US		US				
1.2.005	50 UTB	RECORDS RETENTION SCHEDULE (SLR 105) - Agency copy. Formerly RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C), and/or other forms designated by the State Records Administrator.	US		US		Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.		
1.2.008	51 UTB	REQUEST FOR AUTHORITY TO DISPOSE OF STATE RECORDS (RMD 102) - Agency copy.	FE	3	FE+3		Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.		
1.2.010	52 UTB	RECORDS DISPOSITION LOGS - Logs or similar records listing records destroyed or transferred to the Archives and Information Services Division, Texas State Library, showing records series title, dates of records, and date destroyed or transferred.	10		10				

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Record Series Item	Agency Item Number	Record Series Title	Retention Period			Archival	Remarks	106 No.	TSLAC ONLY Amend. No.
			Office	Storage	Total				
1.2.012	53 UTB	RECORDS INVENTORY WORKSHEETS.	US		US				
1.2.013	54 UTB	RECORDS CONTROL LOCATOR AIDS - Includes indexes, card files, shelf lists, registers, guides, etc.	AC		AC		AC= When control aid is updated, revised, or no longer needed. CAUTION: These records must carry the same retention period and archival code of the records they support.		
1.2.014	55 UTB	RECORDS MANAGEMENT PLANS - Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US	1	US+1				
1.2.015	56 UTB	DISASTER RECOVERY SERVICE TRANSMITTALS (RMD . 109) - Also includes documentation for disaster recovery services provided by other entities.	FE	1	FE+1				
1.3		<u>Administrative Records-State Publications</u>							
1.3.001	57 UTB	STATE PUBLICATIONS - One copy of each state publication as defined on page xi of the introduction of the Texas State Records Retention Schedule, 4th edition, except a publication that is subject to a different retention period. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003, which also meet the definition, are closely associated with the appropriations process and must be retained AC + 6.	AC	2	AC+2		AC= Until superseded or obsolete. CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code § 441.101- 441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the		
1.3.002	58 UTB	<u>PUBLICATION DEVELOPMENT FILES - Background</u> material copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV		AV	O			
2.1		<u>Electronic Data Processing Records-Automated Applications</u>							

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Record Series Item	Agency Item Number	Record Series Title	Retention Period			Archival	Remarks	106 No.	TSLAC ONLY Amend. No.
			Office	Storage	Total				
2.1.001	59 UTB	PROCESSING FILES - Machine-readable files used in the creation, utilization, and updating of master files.	AC		AC		AC= Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur. CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.		
2.1.002	60 UTB	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		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. CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.		
2.1.007	61 UTB	SOFTWARE PROGRAMS - Automated software applications and operating system files including job control language, program listing/source code, etc.	AC		AC		AC= Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		
2.1.008	62 UTB	HARDWARE DOCUMENTATION - Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC		AC		AC= Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that required the hardware to be retrieved and read. 13TAC 6.97. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		

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			Office	Storage	Total				
2.1.009	63 UTB	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		AC= Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		
2.1.010	64 UTB	AUDIT TRAIL RECORDS - Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC		AC		AC= All audit requirements have been met.		
2.1.011	65 UTB	FINDING AIDS, INDEXES, AND TRACKING SYSTEMS - Automated indexes, lists, registers, and other finding aids used to provide access to records.	AC		AC		AC= The related records have been destroyed. CAUTION: These records must carry the same retention period and archival code of the records they support.		
2.2		<u>Electronic Data Processing Records- Computer Operations and Technical Support</u>							
2.2.001	66 UTB	SYSTEM MONITORING RECORDS - Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.	AV		AV				

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			Office	Storage	Total				
2.2.002	67 UTB	CHARGEBACK RECORDS TO DATA PROCESSING SERVICES USERS - Records used to document, calculate costs and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.	FE	3	FE+3				
2.2.004	68 UTB	COMPUTER JOB SCHEDULES AND REPORTS - Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.	3 Months	3 Months	6 Months				
2.2.010	69 UTB	DATA PROCESSING POLICIES AND PROCEDURES - Manuals, guidelines, or similar documents establishing data processing policies and procedures in an agency such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.	US	3	US+3		CAUTION: Does not include technical documentation of procedures necessary for reading or processing electronic records. SEE item number 2.1.009.		
2.2.011	70 UTB	BATCH DATA ENTRY CONTROL RECORDS - Forms and logs used to reconcile batches submitted for processing against batches received and processed.	AC		AC		AC = When reconciliation confirmed.		
2.2.012	71 UTB	OUTPUT RECORDS FOR COMPUTER PRODUCTION - Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV		AV				
2.2.013	72 UTB	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, transaction histories, and other records needed as an audit trail to evaluate data accuracy.	AC		AC		AC= No longer needed as an audit trail for any records modified		

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			Office	Storage	Total				
3.1		<u>Personnel Records - Employee</u>							
3.1	73 UTB	INTERNATIONAL EXCHANGE VISITORS INFORMATION WORKSHEET.	AC	10	AC+10		AC= Termination of employment, but not less than 3 years. 8 CFR 274.a(b)(i)(A) and (2)		
3.1	74 UTB	INDIVIDUAL PERSONNEL FILE - SEPARATED EMPLOYEE.	AC	5	AC+5		AC= SEPARATION DATE. SEE SUPPLEMENTAL NOTE- PERSONNEL RECORDS		
3.1	75 UTB	INDIVIDUAL PERSONNEL FILE - RETIRED EMPLOYEE.	AC	50	AC+50		AC= RETIREMENT DATE. SEE SUPPLEMENTAL NOTE - PERSONNEL RECORDS ALSO SEE: Agency Item Number 73 and 74		
3.1	76 UTB	INDIVIDUAL PERSONNEL FILE - CURRENT EMPLOYEE.	AC		AC		AC= TERM OF EMPLOYMENT. SEE SUPPLEMENTAL NOTE -PERSONNEL RECORDS		
3.1	77 UTB	APPLICANT ACTIVITY FORM.	3	0	3				
3.1	78 UTB	CERTIFICATES OF AGE MINOR WORKERS.	AC	5	AC+5		AC=Termination of employment		
3.1	79 UTB	FINGERPRINT CARDS.	AC	5	AC+5		AC=Termination of employment		
3.1	80 UTB	EMPLOYEE CAREER PLANNING RECORDS.	AV		AV				
3.1.001	81 UTB	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.	2	0	2		29 CFR 1602.49 [State Universities]		
3.1.002	82 UTB	APPLICATIONS FOR EMPLOYMENT - HIRED - Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC	5	AC+5		AC= Termination of employment.		

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3.1.006	83 UTB	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	10	AC+10		AC= Termination of counseling.		
3.1.011	84 UTB	EMPLOYEE INSURANCE RECORDS - Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	US+AC	5/50	US+AC+5/50		AC = Until superseded or termination of employment. CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.		
3.1.012	85 UTB	EMPLOYMENT OPPORTUNITY ANNOUNCEMENTS - Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.	2	0	2		29 CFR 1602.49(a) (State Universities).		
3.1.013	86 UTB	EMPLOYMENT CONTRACTS - (as part of Individual Personnel File).	AC	4	AC+4		AC= Expiration or termination of the contract according to its terms. SEE SUPPLEMENTAL NOTE - PERSONNEL RECORDS.		
3.1.014	87 UTB	EMPLOYMENT SELECTION RECORDS - 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; and all other records that document the selection process.	2	2	4		29 CFR 1602.49(a) (State Universities). CAUTION: Does not include criminal history checks. SEE item number 3.1.026		
3.1.018	88 UTB	GRIEVANCE RECORDS (AS PART OF INDIVIDUAL PERSONNEL FILE) - Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC	2	AC+2		AC= Final decision on the grievance. CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U. S. Department of Labor. SEE item number 1.1.048.		

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3.1.019	89 UTB	PERFORMANCE APPRAISALS - (AS PART OF INDIVIDUAL PERSONNEL FILE).	2	0	2		29 CFR 1620.32(c). AC= SEPARATION OF EMPLOYEE NOTE - PERSONNEL RECORDS.		
3.1.020	90 UTB	PERSONNEL CORRECTIVE ACTION DOCUMENTATION (AS PART OF INDIVIDUAL PERSONNEL FILE) - Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve and employee's job performance.	AC	5	AC+5		AC= Termination of corrective action. 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.		
3.1.021	91 UTB	PERSONNEL DISCIPLINARY ACTION DOCUMENTATION - (AS PART OF INDIVIDUAL PERSONNEL FILE) - 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 agency, or the employee work force, and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC	5	AC+5		AC= Termination of employment.		
3.1.022	92 UTB	PERSONNEL INFORMATION OR ACTION - Forms or similar records used to create or change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment.	2	0	2		29 CFR 1602.49(a) (State Universities)		
3.1.023	93 UTB	POSITION/JOB DESCRIPTIONS - Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	4	AC+4		AC= Until superseded or job eliminated. 40 TAC 815.106(i).		

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			Office	Storage	Total				
3.1.024	94 UTB	PHYSICAL EXAMINATIONS/MEDICAL REPORTS - Medical or physical examinations reports or certificates of employees for whom periodic monitoring of health or fitness is required.	AC	2	AC+2		AC= Until superseded or termination of employment. CAUTION: Does not include pre-employment physical examinations. SEE item number 3.1.014.		
3.1.026	95 UTB	CRIMINAL HISTORY CHECKS - Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety. (DPS)	AC	0	AC		AC = The criminal history record has served the immediate purpose for which it was obtained. CAUTION: An agency that is authorized to obtain criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.		
3.1.027	96 UTB	TRAINING AND EDUCATIONAL ACHIEVEMENT RECORDS (INDIVIDUAL) - Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC	5	AC+5		AC= Termination of employment.		
3.1.029	97 UTB	EMPLOYMENT ELIGIBILITY, DOCUMENTATION OR VERIFICATION OF - Federal reporting form (INS I-9).	AC	1	AC+1		AC= Termination of employment. 8 CFR 274a.2(b)(2)(i)(A) and (c)(2). CAUTION: Federal regulation requires that INS 1-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period.		
3.1.031	98 UTB	EMPLOYEE BENEFITS-OTHER THAN INSURANCE - Agency copies of information relating to the selection of available benefit options other than insurance.	AC+2		AC+2		AC= Until superseded or termination of employment. CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item 3.2.001.		
3.1.034	99 UTB	RESUMES- UNSOLICITED - Retention period applies if an agency replies to the sender of a resume that it will be kept on file should future job openings occur.SEE item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.	AV		AV		SEE item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.		

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			Office	Storage	Total				
3.1.035	100 UTB	PERFORMANCE BONDS - Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of position or the terms of a contract with the agency.	AC	4	AC+4		AC= Expiration or termination of the bond according to its terms. CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028.		
3.1.036	101 UTB	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	0	5		29 CFR 30.8(e).		
3.1.037	102 UTB	EMPLOYEE RECOGNITION RECORDS - Awards, incentives, tenure, etc.	AC	5	AC+5		AC= Termination of employment		
3.2		<u>Personnel Records - Payroll</u>							
3.2.001	103 UTB	EMPLOYEE DEDUCTION AUTHORIZATIONS - Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC	4	AC+4		AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.		
3.2.002	104 UTB	EMPLOYEE EARNINGS RECORDS.	4	0	4		40 TAC 815.106(i)		
3.2.003	105 UTB	FEDERAL TAX RECORDS - Includes 1099, W2, FICA, and other tax records.	AC	4	AC+4		AC = Tax due date, date the claim is filed, or date tax is paid whichever is later.		
3.2.004	106 UTB	INCOME ADJUSTMENT AUTHORIZATIONS - Used to make increases or decreases to employee's gross pay, FICA, retirement, or in the computation of taxes.	2	0	2		29 CFR 516.6(c).		
3.2.005	107 UTB	W-4 FORMS - Employer's copy of "Employee's Withholding Exemption Certificate."	AC	4	AC+4		AC= Until superseded, obsolete, or upon separation of employee. 26 CFR 31.6001-1(e)(2).		
3.2.006	108 UTB	WAGE RATE TABLES.	2	0	2		29 CFR 516.6(a)(2)		

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3.2.007	109 UTB	UNEMPLOYMENT COMPENSATION RECORDS.	AC	5	AC+5		AC =Termination of benefit.		
3.2.008	110 UTB	DIRECT DEPOSIT APPLICATION/AUTHORIZATIONS.	US		US				
3.2.009	111 UTB	STATE DEFERRED COMPENSATION RECORDS.	AC	5	AC+5		AC= All accounts with a vendor or vendors for the individual participant have been closed. For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the Benefits Coordinator Reference Manual issued by the Employees Retirement System of Texas.		
3.2.010	112 UTB	HUMAN RESOURCES INFORMATION SYSTEM (HRIS) REPORTS - Includes supporting documentation.	AC	4	AC+4		AC=Termination of Employment		
3.3		<u>Personnel Records-Personnel Administration</u>							
3.3	113 UTB	TIME AND EFFORT REPORT.	7	0	7				
3.3.001	114 UTB	AFFIRMATIVE ACTION PLANS - Affirmative action plans for both regular employees and apprenticeship programs.	5	0	5		29 CFR 30.8(e) for apprenticeship plans.		
3.3.004	115 UTB	BENEFIT PLANS - Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	US	1	US+1		29 CFR 1627.3(b)(2).		
3.3.010	116 UTB	LABOR STATISTICS REPORTS - Reports providing statistical information on labor force.	3	0	3				
3.3.011	117 UTB	FORMER EMPLOYEE VERIFICATION RECORDS - Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC	75	AC+75		AC= Termination of employment. SEE item number 3.1.038		
3.3.015	118 UTB	POSITION/JOB CLASSIFICATION REVIEW FILE - Records relating to review and monitoring of job classifications within an agency.	US	3	US+3				

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Record Series Item	Agency Item Number	Record Series Title	Retention Period			Archival	Remarks	106 No.	TSLAC ONLY Amend. No.
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3.3.020	1119 UTB	WORK SCHEDULES/ASSIGNMENTS - Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1				
3.3.022	120 UTB	TEXAS WORKFORCE COMMISSION (TWC) REPORTS - Reports to the agency from TWC or its predecessor pertaining to employees.	3	0	3				
3.3.023	121 UTB	REIMBURSABLE ACTIVITIES, REQUESTS AND AUTHORIZATION TO ENGAGE IN - Requests and Authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE	3	FE+3				
3.3.024	122 UTB	PERSONNEL POLICIES AND PROCEDURES - Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.	US	3	US+3				
3.3.025	123 UTB	JOB PROCEDURE RECORDS - Any documents detailing the procedural duties and responsibilities of an agency positions on a position-by-position basis.	US	3	US+3				
3.3.026	124 UTB	AGENCY STAFFING REPORTS - Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name; staff hired during a month; detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US	3	US+3				
3.3.030	125 UTB	TRAINING ADMINISTRATION RECORDS - Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern an agency's programs, services, or projects.	US	2	US+2		CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.		
3.3.031	126 UTB	EEO REPORTS AND SUPPORTING DOCUMENTATION - Includes documentation used to complete EEO reports	3	0	3		29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50.		

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3.3.032	127 UTB	EQUAL PAY RECORDS - Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the federal Equal Pay Act	3	3	6		29 CFR 1620.32(c).		
3.4		<u>Personnel Records - Time and Leave</u>							
3.4.001	128 UTB	ACCUMULATED LEAVE ADJUSTMENT REQUEST - Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances on August 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE	3	FE+3				
3.4.002	129 UTB	LEAVE STATUS REPORTS - Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3	FE+3				
3.4.003	130 UTB	LESS THAN FULL-TIME WORKED REPORTS - Dates and hours	4	0	4		40 TAC 815.106(i)		
3.4.004	131 UTB	OVERTIME AUTHORIZATIONS.	1	0	1				
3.4.005	132 UTB	OVERTIME SCHEDULES.	1	0	1				
3.4.006	133 UTB	TIME CARD AND TIME SHEETS.	4	0	4		40 TAC 815.106(i)		
3.4.007	134 UTB	TIME OFF AND/OR SICK LEAVE REQUESTS.	FE	3	FE+3				
3.4.008	135 UTB	SICK LEAVE POOL DOCUMENTATION - Request submitted, approvals, number of hours transferred in and out, etc.	FE	3	FE+3				
4.1		<u>Fiscal Records - Worksheets, Detail Information on Financial Event or Transaction</u>							
4.1.001	136 UTB	ACCOUNTS PAYABLE INFORMATION.	FE	3	FE+3				

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4.1.002	137 UTB	BILLING DETAIL .	FE	3	FE+3	CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.			
4.1.003	138 UTB	CANCELLED CHECKS/STUBS/WARRANTS/DRAFTS	FE	3	FE+3				
4.1.004	139 UTB	ENCUMBRANCE DETAIL.	FE	3	FE+3				
4.1.005	140 UTB	INVENTORY AND OTHER COST FILES - Production, job, labor, quotes, pricing, specifications, etc.	FE	3	FE+3				
4.1.006	141 UTB	INVESTMENT TRANSACTION FILES	FE	3	FE+3				
4.1.007	142 UTB	TRANSFERS OR BUDGET REVISIONS.	FE	3	FE+3				
4.1.008	143 UTB	ELECTRONIC FUND TRANSFERS - Direct Deposit Registers.	FE	3	FE+3				
4.2		<u>Fiscal Records - Documents of Original Entry</u>							
4.2.001	144 UTB	CASH DEPOSIT VOUCHERS - Cash deposit slips	FE	3	FE+3				
4.2.002	145 TB	CASH RECEIPTS - Includes receipts for fees (permits, licenses, renewals, etc.)	FE	3	FE+3				
4.2.003	146 UTB	DAILY CASH RECEIPTS LOGS.	FE	3	FE+3				
4.2.004	147 UTB	ENCUMBRANCE VOUCHERS - Orders, statements, change orders, etc.	FE	3	FE+3				
4.2.005	148 UTB	PURCHASE VOUCHERS - Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	3	FE+3				
4.2.006	149 UTB	GENERAL JOURNAL VOUCHERS.	FE	3	FE+3				
4.2.007	150 UTB	EXPENDITURE VOUCHERS - Travel, Payroll, etc. suspended, and/or processed.	FE	3	FE+3				

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4.3		<u>Fiscal Records - Journals or Registers</u>							
4.3.001	151 UTB	SALES JOURNALS OR REGISTERS.	FE	3	FE+3				
4.3.002	152 UTB	RECEIPTS JOURNALS OR REGISTERS.	FE	3	FE+3				
4.3.003	153 UTB	EXPENDITURES JOURNALS OR REGISTERS.	FE	3	FE+3				
4.4		<u>Fiscal Records - Ledgers</u>							
4.4.001	154 UTB	GENERAL AND SUBSIDIARY LEDGERS.	FE	3	FE+3				
4.4.002	155 UTB	ACCOUNTS RECEIVABLE LEDGERS.	FE	3	FE+3				
4.4.003	156 UTB	ACCOUNTS PAYABLE LEDGERS.	FE	3	FE+3				
4.4.004	157 UTB	EMPLOYEE SAVINGS BOND LEDGERS.	FE	3	FE+3				
4.5		<u>Fiscal Records - Reports</u>							
4.5	158 UTB	ANNUAL FINANCIAL REPORT WORKPAPERS - Includes 13th month Post Closing report	FE	3	FE+3				
4.5.001	159 UTB	WORKSHEETS FOR PREPARING FISCAL REPORTS.	FE	3	FE+3				
4.5.002	160 UTB	INTERNAL FISCAL MANAGEMENT REPORTS - Includes agency monthly budget report	FE	3	FE+3				
4.5.003	161 UTB	ANNUAL FINANCIAL REPORTS - Required by the General Appropriations Act (100 Day Report).	AC	6	AC+6		AC= September 1 of odd-numbered calendar years. CAUTION: If an agency does not produce a biennial or annual narrative report as described in item number 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.		

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4.5.005	162 UTB	EXTERNAL FISCAL REPORTS - Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE	3	FE+3				
4.5.006	163 UTB	ANNUAL OPERATING BUDGETS - Required by the General Appropriations Act.	FE	3	FE+3				
4.6		<u>Fiscal Record - Documents Showing Compliance with System of Internal Control</u>							
4.6.001	164 UTB	BALANCING RECORDS.	FE	3	FE+3				
4.6.002	165 UTB	RECONCILIATIONS.	FE	3	FE+3				
4.6.003	166 UTB	CASH COUNTS.	FE	3	FE+3				
4.7		<u>Fiscal Records - Other Fiscal</u>							
4.7	167 UTB	BANK COLLATERAL RECORDS.	FE	3	FE+3				
4.7	168 UTB	BOND DESTRUCTION CERTIFICATES.	PM		PM				
4.7.001	169 UTB	ACCOUNTING POLICIES AND PROCEDURES MANUAL.	US	3	US+3				
4.7.002	170 UTB	BANK STATEMENT.	FE	3	FE+3				
4.7.003	171 UTB	RETURNED CHECKS WARRANTS/DRAFTS. (UNCOLLECTABLE)	AC	3	AC+3	AC= After deemed uncollectable			
4.7.004	172 UTB	CAPITAL ASSET RECORDS.	LA	3	LA+3				
4.7.005	173 UTB	CLAIM FILES.	AC	3	AC+3	AC= Resolution of claim			
4.7.006	174 UTB	COMPTROLLER STATEMENTS.	FE	3	FE+3				
4.7.007	175 UTB	DETAIL CHART OF ACCOUNTS - One of all accounts in use for a fiscal year	FE	3	FE+3				

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4.7.008	176 UTB	FEDERAL GRANT RECORDS.	AC	3	AC+3		AC= Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule). CAUTION: Retention requirements may vary depending on the specific federal funding agency. Agencies must ensure that records are retained for the appropriate retention period.		
4.7.009	177 UTB	FIXED ASSET SEQUENTIAL NUMBER LOGS.	US	3	US+3				
4.7.010	178 UTB	LONG-TERM LIABILITY RECORDS - Bonds etc.	AC	3	AC+3		AC= Retirement of Debt.		
4.7.011	179 UTB	TEXAS FACILITIES COMMISSION (TFC) The Texas Facilities Commission (TFC) is responsible for planning, providing and managing facilities	FE	3	FE+3				
4.7.012	180 UTB	SIGNATURE AUTHORIZATIONS - Signature cards or similar records establishing authority of an agency employee to initiate or authorized financial transactions on behalf of an agency.	US + FE		US + FE				
5.1		<u>Support Services Records - General</u>							
5.1.001	181 UTB	CONTRACTS AND LEASES - Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC	4	AC+4		AC= Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.		
5.1.003	182 UTB	DELIVERY REPORTS.	1	0	1				
5.1.004	183 UTB	MAIL AND TELECOMMUNICATIONS LISTINGS - Any mailing address, telephone or fax number, or e-mail address records maintained by an agency on its employees or on entities or persons it serves.	US		US				

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5.1.005	184 UTB	POSTAGE RECORDS - Records and reports of postage expenses, including postal meter usage.	FE	3	FE+3				
5.1.007	185 UTB	REQUISITIONS FOR IN-AGENCY/INTER-AGENCY COPY/PRINTING SERVICE - Includes word processing and data processing.	AV		AV				
5.1.010	186 UTB	LICENSES AND PERMITS FOR NON-VEHICLES - Does not include licenses and permits issued by an agency as part of its statutory responsibilities.	AC	2	AC+2	AC= Expiration date of license or permit.			
5.1.011	187 UTB	PHOTOCOPIER USE LOGS AND REPORTS.	AV		AV				
5.1.012	188 UTB	CHARGE SCHEDULES/PRICE LISTS - Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges.	US	3	US+3				
5.1.013	189 UTB	INSURANCE POLICIES - For vehicles, equipment, etc.	AC	4	AC+4	AC= Expiration or termination of the policy according to its terms.			
5.1.014	190 UTB	OFFICE PROCEDURES - Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency; for example, agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US	1	US+1				
5.1.015	191 UTB	CORRESPONDENCE TRACKING RECORDS - Any record created by agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers.	1	0	1				
5.2		<u>Support Services Records - Facility Management</u>							
5.2	192 UTB	PHYSICAL PLANT - Maintenance records In-House Contractor.	3	0	3				

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5.2	193 UTB	PHYSICAL PLANT - Maintenance Records Outside Contractor.	5	0	5				
5.2.001	194 UTB	APPRAISALS-BUILDING OR PROPERTY.	AV		AV	O			
5.2.002	195 UTB	BUILDING CONSTRUCTION PROJECT FILES - Planning, design, and construction records; accepted and rejected bids; correspondence; etc.	AC	10	AC+10	O	AC= Completion of project. SEE ALSO item numbers 5.2.003 and 5.2.028.		
5.2.003	196 UTB	BUILDING PLANS AND SPECIFICATIONS - Includes architectural and engineering drawings, profiles, and blueprints.	LA/AC	2	LA/AC+2	O	AC= For leased buildings; termination or cancellation of lease. SEE ALSO item numbers 5.2.002 and 5.2.028. ARCHIVES NOTE:Archival Review designation is for state-owned building only.		
5.2.004	197 UTB	BUILDING SPACE REQUESTS.	1	0	1				
5.2.005	198 UTB	CALIBRATION RECORDS (EQUIPMENT OR INSTRUMENT)	10	0	10				
5.2.006	199 UTB	PROPERTY DESTRUCTION, CERTIFICATES OF	FE	3	FE+3				
5.2.007	200 UTB	DAMAGE REPORTS - Reports of damage to state property	FE	3	FE+3				
5.2.008	201 UTB	EQUIPMENT HISTORY FILE; EQUIPMENT SERVICE AGREEMENTS - Agreements or contracts between the agency and equipment vendor to provide maintenance service for equipment. Includes requests for installation, moves, service, etc.; and service/repairs logbooks, etc.	LA	3	LA+3				
5.2.009	202 UTB	EQUIPMENT INVENTORY DETAIL REPORT FORMS - Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE	3	FE+3				
5.2.010	203 UTB	EQUIPMENT MANUALS.	LA		LA				
5.2.011	204 UTB	EQUIPMENT WARRANTIES.	AC	1	AC+1		AC=Expiration of Warranty.		

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5.2.012	205 UTB	ESTIMATE FILES (SUPPLY AND REPAIR COST ESTIMATES).	1	1	2				
5.2.014	206 UTB	INVENTORY-ANNUAL PHYSICAL - Property, equipment, supply verification.	FE	3	FE+3				
5.2.015	207 UTB	INVENTORY, NOTICES OF EQUIPMENT REMOVED FROM.	FE	3	FE+3				
5.2.016	208 UTB	INVENTORY SYSTEM UPDATE LISTINGS - Listing show all additions, changes, deletions, and transfer times for the monthly processing period.	AC		AC	AC= Transfer of information into annual listing.			
5.2.017	209 UTB	LOST AND STOLEN PROPERTY REPORTS.	FE	3	FE+3				
5.2.018	210 UTB	QUALITY CONTROL REPORTS.	1	0	1				
5.2.019	211 UTB	SERVICE ORDERS - Agency copy of forms completed by mechanical service personnel for installation of repair. Includes billing code, service, labor, parts, and remarks.	1	0	1				
5.2.020	212 UTB	SUPPLY USAGE RECORDS.	FE	1	FE+1				
5.2.021	213 UTB	SURPLUS PROPERTY SALE REPORTS.	FE	3	FE+3				
5.2.022	214 UTB	UTILITY USAGE REPORTS.	AV		AV				
5.2.023	215 UTB	YEAR-TO-DATE ACTIVITY (INVENTORY LISTING) - Shows additions, changes, transfers, and deletions of information within the inventory system. Data include agency, division, tag number, batch, document, transaction date, location, item code, description, date, and cost.	FE	3	FE+3				
5.2.024	216 UTB	MATERIAL SPECIFICATIONS.	AC	2	AC+2	AC= Material is no longer in the agency.			
5.2.025	217 UTB	EQUIPMENT DESCRIPTIONS AND SPECIFICATIONS.	AC	2	AC+2	AC= Equipment is no longer in the agency.			

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5.2.026	218 UTB	FACILITIES RESERVATION LOGS - Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.	1	0	1				
5.2.027	219 UTB	SPACE UTILIZATION REPORTS.	AV		AV				
5.2.028	220 UTB	BUILDING CONSTRUCTION CONTRACT AND INSPECTION RECORDS - Building construction contracts, surety bonds, and inspection records.	LA	10	LA+10	O	SEE ALSO item numbers 5.2.002 and 5.2.003		
5.3		<u>Support Services Records - Purchasing</u>							
5.3.002	221 UTB	FREIGHT BILLS PAID.	FE	3	FE+3				
5.3.003	222 UTB	FREIGHT CLAIMS.	AC	2	AC+2		AC= Resolution of Claim		
5.3.004	223 UTB	ORDER - ACKNOWLEDGMENTS.	AV		AV				
5.3.005	224 UTB	PACKING SLIPS.	AV		AV				
5.3.007	225 UTB	BID DOCUMENTATION - Includes bid requisition/ authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	FE	3	FE+3		CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001 and 5.2.028.		
5.3.008	226 UTB	PURCHASING LOGS - Log, register, etc. providing a record of purchase orders issued, orders received, and similar date on procurement status.	FE	3	FE+3				
5.3.009	227 UTB	REQUEST FOR INFORMATION - Request for information preliminary to the procurement of goods or services by direct purchase or bid.	AC		AC		AC= Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.		

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			Office	Office	Total				
5.4		<u>Support Services Records - Risk Management</u>							
5.4.001	228 UTB	ACCIDENT REPORTS AND ASSOCIATED DOCUMENTATION - Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally on accident frequency.	CE	5	CE+5		29 CFR 1904.33. The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.		
5.4.002	229 UTB	EVACUATION PLANS - Plans for evacuation of agency facilities in cases of emergency.	US		US				
5.4.003	230 UTB	INSPECTION RECORDS - Fire, safety, and other inspection records of agency facilities and equipment.	AC	3	AC+3		AC= Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency. CAUTION: Does not include inspection reports of building construction. See item number 5.2.028.		
5.4.004	231 UTB	FIRE ORDERS - Orders issued by Fire Marshal to correct deficiencies in compliance with fire code.	AC	3	AC+3		AC= Deficiency corrected		
5.4.007	232 UTB	HAZARDOUS MATERIALS TRAINING RECORDS - Records of training given employees in an agency hazard communications program	5	0	5		Health and Safety Code, 502.009(g)		
5.4.008	233 UTB	HAZARD COMMUNICATION PLANS.	US	5	US+5		Health and Safety Code, 502.009(g)		
5.4.009	234 UTB	WORKPLACE CHEMICAL LIST.	30	0	30		Health and Safety Code, 502.005(d)		
5.4.010	235 UTB	MATERIAL SAFETY DATA SHEETS. (MSDS)	AC		AC		AC= After sheets are updated or hazardous chemical no longer stored by agency, as applicable.		
5.4.011	236 UTB	VISITOR CONTROL REGISTERS - Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.	3	0	3				

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5.4.012	237 UTB	SECURITY ACCESS RECORDS - Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency or state facilities, equipment or automated systems.	AC	2	AC+2		AC= Until superseded, date of expiration, or date of termination, whichever sooner.		
5.4.013	238 UTB	DISASTER PREPAREDNESS AND RECOVERY PLANS.	US		US				
5.5		<u>Support Services Record - Telecommunications</u>							
5.5	239 UTB	COMMUNICATION TAPES - and printouts (tapes and printouts of Incoming and Outgoing telephone and radio communications)	AC	30 days	AC+30 days		AC= After completion of tape. Information for this listing is from the Texas State Library and Archives Commission's local schedules PS (3rd Edition), Retention Schedule for Records of Public Safety agencies, effective August 14, 2011		
5.5.001	240 UTB	BILLING DETAIL-TELECOMMUNICATIONS (OTHER THAN TEX-AN) - In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE	3	FE+3				
5.5.002	241 UTB	LONG DISTANCE TELEPHONE LOGS - Long distance logs created by agencies for internal documentation purposes. Includes any similar logs created for long distance facsimile or electronic transmissions.	AV		AV				
5.5.003	242 UTB	STATION ACTIVITY REPORTS - Internal listing of all incoming/outgoing telephone activity to individual telephone stations.	AV		AV				
5.5.004	243 UTB	SYSTEM ACTIVITY REPORTS - Internal listing of all incoming/outgoing agency telephone activity.	AV		AV				
5.5.007	244 UTB	DISPUTED CALL DOCUMENTATION - Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use.	FE	3	FE+3				

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			Office	Storage	Total				
5.6		Support Services Records - Vehicles							
5.6.003	245 UTB	INSPECTION REPAIR AND MAINTENANCE RECORDS-VEHICLES.	LA	1	LA+1				
5.6.004	246 UTB	LICENSE AND DRIVING RECORD CHECKS.	AC		AC	AC= Until superseded or until termination of employment.			
5.6.005	247 UTB	VEHICLE USE REPORTS - Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	FE	3	FE+3				
5.6.007	248 UTB	VEHICLE TITLES AND REGISTRATIONS.	LA		LA				
5.6.009	249 UTB	PARKING PERMITS OR ASSIGNMENTS.	US		US				
		POLICE RECORDS							
	250 UTB	POLICE CASE REPORTS.	PM		PM				
	251 UTB	POLICE DISASTER RECOVERY PLAN.	US		US				
	252 UTB	POLICE INCIDENT REPORTS.	3	0	3	AC= STATUTE OF LIMITATIONS			
	253 UTB	POLICE OFFENSE REPORTS.	AC+AV		AC+AV				
	254 UTB	POLICE PERSONNEL BACKGROUND INFORMATION.	3	0	3				
	255 UTB	POLICE POLICY AND PROCEDURES MANUAL.	US	3	US+3				
		MEDICAL/PATIENT RECORDS							
	256 UTB	PATIENT MEDICAL RECORDS.	AC	10	AC+10	AC= Date of last treatment; or for patients less than 18 years of age when last treated, the patient's 14th birthday (so the record is kept at least until the patient' 21st birthday) or the date that the patient was last treated whichever date is later. TEX. BD. Of Medical Examiners, 22 TEX.			
	257 UTB	PROTOCOLS/PROPOSALS.	5	0	5				

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			Office	Storage	Total				
	258 UTB	BILLING RECORDS.	FE	3	FE+3				
	259 UTB	ADJUSTMENTS TO CHARGES AND PAYMENTS.	1	0	1				
	260 UTB	DEPARTMENTAL ACTIVITY BY CLASS.	PM		PM				
	261 UTB	CHARGE DOCUMENTS-ENCOUNTER FORMS.	1	0	1				
	262 UTB	NON-HOSPITAL PATIENT'S RECORDS-MEDICAL. (INCLUDING X-RAYS)	AC	7	AC+7		AC= Date of last treatment; or for patients less than 18 years of age when last treated, the patient's 14th birthday (so the record is kept at least until the patient' 21st birthday) or the date that the patient was last treated whichever date is later. TEX. BD. Of Medical Examiners, 22 TEX.		
		<u>STUDENT RECORDS - ADMISSIONS DATA</u> <u>/DOCUMENTS FOR APPLICANTS WHO DO NOT ENTER WHETHER ACCEPTED OR REJECTED</u>							
	263 UTB	ACCEPTANCE LETTERS.	AC	1	AC+1		AC= AFTER APPLICATION TERM.		
	264 UTB	ADVANCED PLACEMENT RECORDS.	AC	1	AC+1		AC= AFTER APPLICATION TERM.		
	265 UTB	ADMISSION APPLICATIONS-(FERPA APPLIES, BUT RECORDS ARE SUBJECT TO TEXAS OPEN RECORDS LAW).	AC	1	AC+1		AC= AFTER APPLICATION TERM.		
	266 UTB	<u>CORRESPONDENCE - RELEVANT.</u>	AC	1	AC+1		AC= AFTER APPLICATION TERM.		
	267 UTB	ENTRANCE EXAMINATION REPORTS (ACT, COLLEGE ENTRANCE EXAMINATION BOARD).	AC	1	AC+1		AC= AFTER APPLICATION TERM.		
	268 UTB	RECOMMENDATION LETTERS.	AC	1	AC+1		AC= AFTER APPLICATION TERM.		
	269 UTB	MEDICAL RECORDS SUBMITTED TO U.T. AS PART OF APPLICATION PROCESS AND NOT GENERATED AT THE U.T. INSTITUTION.	AC	1	AC+1		AC= AFTER APPLICATION TERM.		

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			Office	Storage	Total				
		<u>STUDENT RECORDS ADMISSIONS DATA/ DOCUMENTS FOR APPLICANTS WHO ENTER</u>							
	270 UTB	ACCEPTANCE LETTERS.	AC	5	AC+5		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		
	271 UTB	ADVANCED PLACEMENT RECORDS	AC	5	AC+5		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		
	272 UTB	APPLICATIONS FOR ADMISSION OR READMISSION	AC	5	AC+5		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		
	273 UTB	CORRESPONDENCE - RELEVANT.	AC	5	AC+5		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		
	274 UTB	ENTRANCE EXAMINATION REPORTS (ACT,CEEBS).	AC	5	AC+5		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		
	275 UTB	RECOMMENDATION LETTERS.	AC		AC		AC= UNTIL ADMITTED. SEE NOTE 2 on Supplemental Page 2 of STUDENT RECORDS		
	276 UTB	MEDICAL RECORDS SUBMITTED TO U.T. AS PART OF APPLICATION PROCESS AND NOT GENERATED AT THE U.T. INSTITUTION.	AC	5	AC+5		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		
	277 UTB	PLACEMENT SCORES.	AC	5	AC+5		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		
	278 UTB	RECRUITMENT MATERIALS.	AC	5	AC+5		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		
	279 UTB	RESIDENCY CLASSIFICATION FORMS.	AC	5	AC+5		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		

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w Series Item	Agency Item Number	Record Series Title	Retention Period			Archival	Remarks	106 No.	TSLAC ONLY Amend. No.
			Office	Storage	Total				
280 UTB		STUDENT WAIVERS FOR RIGHTS OF ACCESS TO LETTERS OF RECOMMENDATION FOR ADMISSION.	AC		AC		AC= UNTIL TERMINATED. SEE NOTE 2 on Supplemental Page 2 of STUDENT RECORDS		
281 UTB		TEST SCORES.	AC	5	AC+5		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		
282 UTB		TRANSCRIPTS - OTHER COLLEGES.	AC	5	AC+5		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		
283 UTB		TRANSCRIPTS - HIGH SCHOOL.	AC	5	AC+5		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		
		<u>STUDENT RECORDS - REGISTRATION DATA/DOCUMENTS</u>							
284 UTB		ACADEMIC ACTION AUTHORIZATION, DISMISSALS ETC.	PM	PM	PM		SEE NOTE 6 on Supplemental Page 5 of STUDENT RECORDS		
285 UTB		ACADEMIC RECORDS-NARRATIVE EVALUATIONS COMPETENCY ASSESSMENTS, ETC	PM		PM	I			
286 UTB		ADVANCED PLACEMENT RECORDS.	AC	5	AC+5		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		
287 UTB		APPLICATIONS FOR GRADUATION.	AC	5	AC+5		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		
288 UTB		APPLICATIONS FOR ADMISSION OR READMISSION.	AC	5	AC+5		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		
289 UTB		AUDIT AUTHORIZATIONS - STUDENT RECORDS.	AC	1	AC+1		AC= AFTER DATE SUBMITTED.		
290 UTB		CAMPUS HOUSING - STUDENT RECORDS.	AC	3	AC+3		AC= LAST DAY OF RESIDENCY.		
291 UTB		COURSE CHANGES (ADD/DROP).	AC	5	AC+5		AC= AFTER DATE SUBMITTED.		
292 UTB		GRADE FORMS-CHANGES (UPDATE DOCUMENTS)	PM		PM	I			

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	293 UTB	CLASS LISTS - ORIGINAL GRADE SHEETS.	PM		PM	I			
	294 UTB	CLASS SCHEDULES - STUDENTS.	AC	1	AC+1		AC=GRADUATION OR DATE OF LAST ATTENDANCE.		
	295 UTB	CORRESPONDENCE - RELEVANT.	AC	5	AC+5		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		
	296 UTB	CREDIT BY EXAMINATION FORMS.	AC	5	AC+5		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		
	297 UTB	CREDIT/NO CREDIT APPROVALS.	AC	1	AC+1		AC= AFTER DATE SUBMITTED.		
	298 UTB	CURRICULUM CHANGE AUTHORIZATION.	AC	5	AC+5		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		
	299 UTB	DEGREE AUDIT REQUIREMENTS.	AC	5	AC+5		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		
	300 UTB	DISCIPLINARY ACTION DOCUMENTS (SEPARATE CONFIDENTIAL RECORD) DEPENDING OR PENALTY ASSESSED.	AC/PM		AC/PM		AC= GRADUATION OR DATE OF LAST ATTENDANCE. SEE REGENTS' RULES AND REGULATIONS: Rule 50101, Section 8 http://www.utsystem.edu/bor/rules/50000Series/50101.pdf		
	301 UTB	FEE ASSESSMENT FORMS.	AC	5	AC+5		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		
	302 UTB	FINANCIAL AID DOCUMENTS	AC	5	AC+5		AC= AFTER ANNUAL AUDIT HAS BEEN ACCEPTED BY U.S. DEPARTMENT OF EDUCATION.		
	303 UTB	FOREIGN STUDENT FORMS.	AC	5	AC+5		AC= GRADUATION OR DATE OF LAST ATTENDANCE. SEE NOTE 7, SUPPLEMENTAL NOTES TO STUDENT RECORDS.		
	304 UTB	GRADE REPORTS- REGISTRAR'S COPY.	AC	1	AC+1		AC= AFTER DISTRIBUTED.		

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	305 UTB	GRADUATION LISTS.	PM		PM				
	306 UTB	GRADUATION AUTHORIZATION.	AC	5	AC+5		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		
	307 UTB	HOLD OR ENCUMBRANCE AUTHORIZATIONS.	AC	1	AC+1		AC= UNTIL RELEASED.		
	308 UTB	MEDICAL RECORDS.	AC	10	AC+10		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		
	309 UTB	NAME CHANGE AUTHORIZATIONS.	AC	5	AC+5		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		
	310 UTB	PASS/FAIL REQUESTS.	AC	1	AC+1		AC= AFTER CLOSING DATE.		
	311 UTB	PERSONAL DATA INFORMATION FORMS.	AC	1	AC+1		AC= AFTER DATE SUBMITTED.		
	312 UTB	REGISTRATION FORMS.	AC	1	AC+1		AC= AFTER DATE SUBMITTED.		
	313 UTB	TRANSCRIPTS - REQUESTS FOR.	AC	1	AC+1		AC= AFTER DATE SUBMITTED.		
	314 UTB	TRANSFER CREDIT EVALUATIONS.	AC	5	AC+5		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		
	315 UTB	TUITION AND FEE CHARGES.	AC	5	AC+5		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		
	316 UTB	WITHDRAWAL AUTHORIZATIONS.	AC	5	AC+5		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		
		<u>STUDENT RECORDS - CERTIFICATION DATA DOCUMENTS</u>							
	317 UTB	ENROLLMENT VERIFICATIONS.	AC	1	AC+1		AC= AFTER VERIFICATION.		
	318 UTB	FINANCIAL AID ASSISTANCE RECORDS.	AC	3	AC+3		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		

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	319 UTB	SOCIAL SECURITY CERTIFICATIONS.	AC	1	AC+1		AC= AFTER VERIFICATION.		
	320 UTB	TEACHER CERTIFICATIONS.	AC	1	AC+1		AC= AFTER CERTIFICATION. TEXAS EDUCATION AGENCY HAS PERMANENT RECORD.		
	321 UTB	COUNSELOR NOTES AND DOCUMENTATION	AC	5	AC+5		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		
	322 UTB	VETERANS ADMINISTRATION CERTIFICATIONS.	AC	3	AC+3		AC= GRADUATION OR DATE OF LAST ATTENDANCE.		
		<u>PUBLICATIONS, STATICAL DATA/DOCUMENTS AND INSTITUTIONAL REPORTS</u>							
	323 UTB	CATALOGS - STUDENT RECORDS.	PM		PM		CAUTION: This publication must be submitted to the Texas Publication Depository Program, Texas Library and Archives Commission, by law (Government Code § 441.101-441.106)		
	324 UTB	COMMENCEMENT PROGRAMS.	PM		PM				
	325 UTB	DEGREE STATISTICS.	PM		PM				
	326 UTB	ENROLLMENT STATISTICS.	PM		PM				
	327 UTB	GRADE STATISTICS.	PM		PM				
	328 UTB	RACIAL/ETHNIC STATISTICS.	PM		PM				
	329 UTB	CLASS SCHEDULES - INSTITUTIONAL.	PM		PM				

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		<u>STUDENT RECORDS - FERPA (FAMILY EDUCATIONAL RIGHTS AND PRIVACY ACT) DATA/DOCUMENTS</u>							
	330 UTB	FORMAL HEARINGS REQUESTS.	LR		LR	LR= LIFE OF AFFECTED RECORDS.			
	331 UTB	PERSONALLY IDENTIFIABLE INFORMATION REQUESTS AND DISCLOSURES OF.	LR		LR	LR= LIFE OF AFFECTED RECORDS.			
	332 UTB	DIRECTORY INFORMATION-REQUESTS FOR NONDISCLOSURES OF.	AV		AV	AV= AFTER TERMINATION OF ENROLLMENT			
	333 UTB	HEARING PANEL DECISIONS- STUDENT STATEMENTS ON CONTENT.	LR		LR	LR= LIFE OF AFFECTED RECORDS.			
	334 UTB	HEARING PANEL DECISIONS-WRITTEN CONSENTS OF STUDENTS FOR DISCLOSURE OF.	AV		AV	AV= AFTER TERMINATION OF ENROLLMENT			
	335 UTB	HEARING PANEL DECISIONS-DECISIONS	LR		LR	LR= LIFE OF AFFECTED RECORDS.			

RETENTION CODES

AC- After Closed, Terminated completed, Expired, Settled.
FE- Fiscal year End
LA- Life of Asset
CE- Calendar Year End

AV- As long as administratively valuable
PM- Permanent
US- Until Superseded
LR= Life of Affected Records

ARCHIVAL CODES

I -Retain in University Archives
O -Review required before disposal.