

December 8, 2022



Eric Owen
Executive Director of Library Services
Sam Houston State University
P.O. Box 2179
Huntsville, TX 77341

Dear Eric Owen,

Amendment 1 of the 8th recertification of your agency's records retention schedule is approved for use as of **12/5/2022** and may be accessed on our website at <https://www.tsl.texas.gov/slrn/state/schedules>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

www.tsl.texas.gov

Commission Chair
Martha Wong

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

Director and Librarian
Gloria Meraz

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 also keeps your agency in compliance with state rules (13 TAC §6.4) requiring the submission of any needed amendments to a retention schedule during its certification period to keep the information in the schedule current.

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 contact the Government Information Analyst assigned to your agency:

Katherine Hoffman
512-463-2631
khoffman@tsl.texas.gov

Sincerely,

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

Craig Kelso
Director and State Records Administrator

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 753
Agency Name Sam Houston State University


(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)* Eric Owen
Date 9/19/2022

Section 2. Approvals

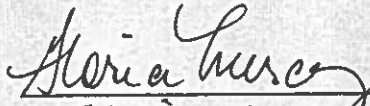
(Submitting agencies do not write in this section)

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

Not Required at This Time

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

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

Signature 
Name *(Print or type)* Gloria Meraz
Date 12/5/22

Cert/Recert No. 8 Amendment No. 1

CAUTION

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

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

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





STATE 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
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 LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

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

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
1	17.1.001	Academic Program Appraisal and Documentation	This series documents the daily and routine administration of academic programs of the department or college. This series may include but is not limited to: registration reports; add-drop analyses and reports; course enrollment summaries by class; graduation summaries; majors by class level; international activities; cooperative ventures; summer term classes and enrollment reports; placement information; convenience copies of reports prepared by admissions, registrar's, and other offices; memos; working papers; and related documentation and correspondence.		5				O		



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2	5.4.001	Occupational Accident Reports and Associated Documentation	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the State Office of Risk Management (SORM) or its predecessors or maintained internally on accident frequency.	CE	5					See RSIN 5.4.014a/b for non-employee accidents.	29 CFR 1904.33; 28 TAC 120.1(c).
3	4.7.001	Accounting Policies and Procedures Manual	Records documenting the internal and external procedural requirements with respect to the accounting department of a state agency	US	3						



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4	4.1.001	Accounts Payable Information	Claims; invoices; statements; copies of checks and purchase orders; expenditure authorizations; ledgers; encumbrance, purchase, general journal, expenditure, and special vouchers; and similar records that serve to document disbursements, including those documenting claims for and reimbursement to employees for travel and other expenses.	FE	3					Title in previous SHSU schedule was Encumbrance Detail.	



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8	17.2.002	Professional Accreditation Reports	This series documents the accreditation process for the colleges, units, and related programs. The series provides a record of materials compiled for inclusion in a report packet sent to the appropriate professional accreditation board for the specific program or service and usually includes statements on mission, finance, educational programs and departments/divisions make up. Most accreditation organizations produce an evaluation report based on the packet and on-site inspection, which is used to determine accreditation for the units and their programs. This series may include but is not limited to: self-evaluation reports; final reports sent to accreditation organization; accreditation organization evaluation report; and related documentation and correspondence.	PM					O		



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9	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						28 CFR 35.105(c)
10	3.3.001a	Affirmative Action Plans - Employees	Affirmative action plans for regular employees.		5						29 CFR 30.12(d).
11	1.1.070	Agency Rules, Policies, and Procedures	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. Includes working files and related documentation used in creating rules, policies, and procedures.	AC	3			AC=Until superseded, or termination of program, rules, policies, or procedures, whichever applicable.	O	ARCHIVES NOTE: Working files and related documentation used in creating the final rules, policies, and procedures, are not subject to archival requirement and may be disposed of at the expiration of the retention period.	



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13	3.3.026	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						



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14	11.1.002	Alumni Records	This series documents the activities of an institution or department's alumni and may also provide alumni offices with information on alumni. This series may include but is not limited to: memberships lists with names, addresses, employer names and addresses, and positions; minutes, by-laws and directories of clubs in many communities and several major cities throughout the United States; 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.	AV					I	See RRS 5.1.004 for records used exclusively for contacting alumni.	



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15	4.9.001	Annual Operating Budget	Required by the General Appropriations Act. Includes encumbrances and documentation about budget transfers and revisions, as well as detail charts of accounts.	FE	3						
16	15.2.014	Graduate Applications	Student Applications for graduation	AC	1			AC=Graduation or last date of attendance		URRS-353	
17	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.	AC	2			AC= Date of the making of the record or the personnel action involved, whichever occurs later.		CAUTION: Does not include ADA Accommodation Requests. See RSIN 3.1.042.	29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities].
18	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.			



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19	5.2.001	Appraisals - Buildings or Property	Assessments or evaluations of the value of state-owned buildings or property.	AV					O		
20	3.3.027	Aptitude and Skills Test	Aptitude, competency, or skills tests and checklists required of job applicants or of current personnel to qualify for promotion or transfer, including validation records.	AC	2			AC=Until superseded or no longer used by the agency.		CAUTION: One copy of each different master 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]
21	3.3.028	Aptitude and Skills Test (Test Papers)	Completed aptitude, competency, or skills test papers and checklists 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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22	16.3.002	Arrests Reports	Arrest report and fingerprints on each person arrested and charged with a felony or a misdemeanor not punishable by fine only. Report includes the name (including aliases), date of birth, and physical description of the offender; the name of the arresting agency; the arrest charge and whether it is a felony or a misdemeanor; the date of arrest; and the date and exact disposition of the case by the agency.		75					URRS-233 May be destroyed upon date of death of individual, if known. See URRS 16.3.036 for Class C misdemeanors or other violations punishable by fine only. CAUTION: If the arrest report does not provide the information listed in the record description, documents from offense investigation records, see URRS 16.3.035, enough to provide the information must be retained 75 years or until date of death of the individual.	



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23	1.1.002	Audits	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC= Publication or release of final audit findings.		The State Auditor's Office (SAO) retains any copies of its audits performed on Texas state agencies. See RSIN 5.4.018 and 5.4.019 for Audit Plan records.	
24	4.8.001	Banking Records	Bank statements, credit card statements, cancelled checks, check registers, deposit slips, debit and credit notices, reconciliations, and other banking related records.	FE	3						
25	3.3.004	Benefit Plans	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	AC	1			AC = Until superseded or plan terminated.			29 CFR 1627.3(b)(2).



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26	5.3.007a	Bid Documentation, 9/1/2015 and After	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, awarded and unawarded bids, and bid tabulation /evaluations. Associated with a contract executed, renewed, or amended on or after September 1, 2015.	AC	7			AC= Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.			SB20 (84th Leg.)
27	5.5.002	Telephone Activity Records	Telephone logs created for internal documentation purposes; station activity reports of internal listings of incoming/outgoing telephone activity to individual telephone stations; operator call transfers; summary detail reports; and system activity reports of internal listings of all incoming/outgoing agency telephone activity.	AV						See RSIN 4.1.001 for telephone bills.	
29	5.2.028	Building construction Contract and Inspection Records	Building construction contracts, surety bonds, and inspection records.	LA	10				O	See also RSIN 5.2.002 and 5.2.003a/b.	



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30	5.2.002	Building Construction Project Files	Project records related to planning, design, construction, conversion, or modernization of state facilities, structures, infrastructure, and systems, including feasibility, screening, and implementation studies; topographical and soil surveys and reports; as-builts; laboratory test reports; environmental impact statements; correspondence; successful and unsuccessful bid documentation and other related documentation.	AC	10			AC - Completion of Project	O	See RSIN 5.2.003a/b and 5.2.028 for further retention of completed building documentation. See RSIN 5.3.007a/b for additional bid documentation retention periods, including RSIN 5.3.007c for invalid bids that do not meet agency submission requirements. ARCHIVES NOTE: Archival review designation is for state-owned buildings only.	
31	5.2.003a	Building Plans and Specifications - State Owned	Includes architectural and engineering drawings, profiles, and blueprints of planning, design, construction, conversion, or modernization of state owed facilities, structures, infrastructure, and systems.	LA					O	See RSIN 5.2.002 and 5.2.028.	



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32	5.2.003b	Building Plans and Specifications - Leased	Includes architectural and engineering drawings, profiles, and blueprints of planning, design, construction, conversion, or modernization of leased facilities, structures, infrastructure, and systems.	AC	2			AC = Termination or cancellation of lease according to its terms.		See RSIN 5.2.002 and 5.2.028.	
33	5.2.004	Building Space Requests	Records documenting building space requests and approvals. Information on request forms may include but is not limited to: the building and room; the reason for the change; parties involved in the request; date of request and approval.		1						



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34	1.1.013	Calendars, Appointments, and Itinerary Records	Calendars, appointment books or programs and scheduling, or itinerary records maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.	CE	1				O	<p>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 State Archives when these records have met their retention periods.</p> <p>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.</p>	



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35	4.1.009	Accounts Receivable Information	Bill copies or stubs, statements, billing registers, account cards, deposit warrants, cash receipts, credit card receipts, receipts books, cash transfers, daily cash reports, reconciliations, general journal vouchers, special vouchers, and similar records that serve to document money owed to or received by a state agency and its collection or receipt.	FE	3						
39	5.1.012	Charge Schedules - Price lists	Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to <u>determine the charges.</u>	US	3						
40	4.7.005	Claim Files	Records documenting requests for payment of a sum of money according to the terms of a <u>policy or contract.</u>	AC	3			AC = Resolution of claim.			
41	15.2.010	Enrollment Census Report (4th and 12th Class Day Rosters)	Attendance reports prepared by faculty on class census day and used as source documentation for enrollment reports submitted to the Texas Higher Education Coordinating Board (THECB).	FE	3					URRS-357	



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42	17.1.002	Class Scheduling Records - Published Schedule of Classes.	This series documents the formulation of class schedules by academic departments for inclusion in the published schedule of classes. This series includes the final edition of the schedule of classes.	PM					O	URRS-271	
45	1.1.006	Complaint File and Feedback Records	Complaints and other unsolicited feedback received by an agency from the public concerning the agency and records pertaining to the resolution of complaints.	AC	2			AC - Date of receipt, action taken, or final disposition of the complaint, whichever comes last.		CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of RSIN 1.1.048.	
48	2.2.002	Chargeback Records to Data Processing Services Users	Records documenting usage, costs, billing, cost recovery, budgeting and administrative functions of computer usage and data processing services for individual units /departments/divisions in an agency	FE	3						
49	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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					Years	Months	Days				
50a	5.1.001a	Contract Administration Files-9/15/2015 and After	Contracts, leases, and agreements include general obligation, land leases, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide. Executed, renewed, or amended on or after September 1, 2015	AC	7			AC=Expiration or termination of the instrument according to its items.		See related RSIN 5.3.007/a/b/c for bid documentation. See RSIN, 5.2.028 for building construction contracts: See RSIN 5.1.017 for contract logs.	SB20(84th Leg.)



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50b	5.1.001b	Contract Administration Files-8/31/2015 and Prior	Contracts, leases, and agreements include general obligation, land leases, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide. Executed, renewed, or amended on or before August 31, 2015	AC	4			AC= Expiration or termination of the instrument according to its terms.		See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.2.028 for building construction contracts. See RSIN 5.1.017 for contract logs.	SB20 (84th Leg.)



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51	1.1.007	Correspondence - Administrative	Incoming/outgoing and internal leadership, supervisory, managerial, executive, administrative, substantive, and other high-level correspondence in any media, including electronic communication, pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.		4				O	ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: This records series and RSIN 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by RSIN 1.1.004; a letter concerning an audit for that prescribed by RSIN 1.1.002, etc. See also RSIN 1.1.011.	



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52	1.1.008	Correspondence - General	Non-Administrative incoming/outgoing and internal correspondence, in any media, including electronic communication, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.		2					See comment to RSIN 1.1.007. See also RSIN 1.1.010	
53	5.1.015	Correspondence Tracking Records	Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service (USPS) or by private couriers.		1						



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54	16.1.034	Psychological and Psychiatric Case Records	This series documents all clients who are provided psychological and psychiatric services by the institution's counseling center. Clinicians provide treatment concerning personal problems, academic concerns, and career concerns. The psychiatric consultant provides psychiatric care to some student clients. This series may include but not limited to: 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	7			AC = Last contact with client		CAUTION: For patients less than 18 years of age when last treated, the records must be retained until the patient reaches age 21 or for seven years from the date of last treatment, whichever is later. For Counseling Case Records, see URRS 16.1.008.	Health and Safety Code, Section 241.103, 22 TAC 165.1(b).



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55	3.1.006	Counseling, Employee 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.			
56	17.1.009	Course Records	This series provides a record of departmental course offerings and individual course contents. This series may include but is not limited to: syllabi; course descriptions; course outlines; course summaries; course requests and proposals; curriculum approval lists; lists of classes by term; bibliographies; reading lists; course announcements; handout materials; and related documentation and correspondence.	AC	2			AC = End of semester in which course is taught.		URRS-267	Texas Education Code Section, 51.974.



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57	17.1.012	Degree Program Proposal, Development and Review Records - Final Reports, Minutes, Proposals, and Degree Program Review	This series provides a record of planning and discussions relating to the implementation of new undergraduate and advanced degree programs and any major reorganization or changes to established programs. This series may include but is not limited to: final reports; curriculum committee meeting minutes; curriculum proposals; and reviews of individual degree programs by campus and off-campus sources.	PM					O	URRS-263	
62	5.1.003	Delivery Reports	Records documenting incoming or outgoing deliveries, including through private courier services.		2						



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63	1.2.001	Destruction Authorizations	Documents authorizing final disposition of records under a certified records retention schedule. Records may also include destruction authorizations (e.g. form RMD 102) approved by Texas State Library and Archives Commission.		3					CAUTION: If destruction authorizations are maintained as part of RSIN 1.2.010 (Records Disposition Logs), then longer retention period applies.	
65	3.2.008	Direct Deposit Applications/Authorizations	Forms used to deposit employee's earnings into a specified personal account.	AC				AC= Until superseded, cancelled, or last payment deposited after termination of employment, whichever applicable.			
66	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						
67	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						28 CFR 35.105(c).



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68	5.4.013	Continuity of Operations Plans (COOP)	Plans developed (per Texas Labor Code, 412.054) to mitigate the damage of potential events that could endanger an agency's ability to function. Includes disaster preparedness, response, and recovery plans.	US						See RSIN 5.4.017 for records related to responding or recovering from an emergency.	
69	1.2.016	Disaster Recovery Service Approval Forms	Forms used by TSLAC (e.g. form RMD 113) or other entities to establish disaster recovery services, authorize agency staff to access the media, etc.	AC				AC=Until superseded or termination service.			
70	5.5.007	Disputed Call Documentation	☐ Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use.	AC	3			AC= Dispute resolved or repaid +FE			
71	3.1.029	Employment Eligibility Documentation	Federal reporting form (Form I-9)	AC				AC= 3 years after date of hire or 1 year after termination of employment, whichever is later.			8 CFR 274a.2(b)(2)(i)(A) and (c)(2).
72	3.3.031	EEO Reports and Supporting Documentation	Includes documentation used to complete EEO (Equal Employment Opportunity) reports.		3						29 CFR 1602.32, 1602.48, and 1602.50



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75	3.2.001	Employee Deduction Authorization	Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC	4			AC= After termination of employment or after amendment, expiration, or termination of authorization, whichever sooner.			
76	3.2.002	Employee Earnings Records	Payroll records and registers documenting employee earnings, wages, and pay. This may include but is not limited to payroll input records, summary statements, payroll vouchers, payroll detail sheets, and payroll history.		4						40 TAC 815.106(i).
77	3.1.011	Employee Benefits	Agency copies of information relating to the selection by employees of life, disability, health, vision, dental, disability, and other types of insurance or benefits offered by the State of Texas to its employees.	AC				AC= Until superseded or termination of employment.		CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for RSIN 3.2.001.	
78	3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc..	AC	5			AC=Termination of employment			



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79	3.1.012	Employment Opportunity Announcements	Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.		2						29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities].
80a	3.1.013a	Employment Contracts – 9/1/2015 and After	Includes a contract or agreement regarding the terms and conditions of employment of an individual and a contract with a vendor for temporary staffing services. Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC= Expiration or termination of the contract according to its terms.			SB20 (84th Leg.)
80b	3.1.013b	Employment Contracts – 8/31/2015 and Prior	Includes a contract or agreement regarding the terms and conditions of employment of an individual and a contract with a vendor for temporary staffing services. Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC= Expiration or termination of the contract according to its terms.			SB20 (84th Leg.)



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81	3.1.014	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; polygraph examination results; and all other records that document the selection process, except for those noted in Remarks.	AC	2			AC= Date of the making of the record or the personnel action involved, whichever occurs later.		CAUTION: Does not include criminal history checks; see RSIN 3.1.026. Does not include drug screening test results; see RSIN 3.1.040a/b/c. Does not include pre-employments skills tests; see RSIN 3.3.027 and 3.3.028.	29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities].
85	5.2.008	Inspection, Repair, and Maintained Records - Equipment	Equipment history file, which may include logbooks and requests for installation, moves, service, repair, etc.	LA	3					For service agreements or contracts related to equipment repairs and service, retain in accordance with RSIN 5.1.001a/b. For vehicle maintenance records, see RSIN 5.6.003.	



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86	5.2.006	Inventory and Property Control Records	Records documenting the inventorying, maintenance, usage, and disposal of supplies, equipment, and property of a state agency. Includes lost, stolen, and damage reports.	FE	3					See RSIN 5.2.008 for the maintenance logs of individual pieces of equipment.	
87	5.2.010	Equipment Manuals		LA							
88	5.2.011	Equipment Warranties		AC	1			AC= Expiration of Warranty.			
89	5.2.012	Estimate Files (Supply and Repair Cost Estimates)	Quotes for minor construction and repair projects and supplies. Includes supporting documentation, as applicable.		1						
90	5.4.003	Inspection Records	Fire, safety, and other inspection records of agency facilities and equipment, including orders issued by inspectors to correct deficiencies in compliance with any code or regulations.	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 RSIN 5.1.028	



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91	17.1.019	Student Faculty/Course Evaluation Records - Tenure Track Faculty	This series documents students' evaluations of non-tenure track teaching personnel and is used to help determine faculty promotion, merit increases and/or to review instructional courses and programs. These records provide students' opinions on faculty members' familiarity with current literature of the discipline, preparation, assignments, examinations, lecture styles, willingness to engage in dialogue, and availability. Records include: bubble forms (input documents); course reaction inventory printouts; statistical tabulations; summary reports; and related documentation and correspondence.		7					URRS-258 CAUTION: Retention period should be longer if a university's tenure review cycle is longer than 7 years.	



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92	1.1.011	Executive Orders	Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.	US	3				I		
95	4.5.002	Fiscal Management Reports	Internal and external periodic fiscal management reports and associated worksheets, including federal financial reports, salary reports, HUB reports, investment performance reports, etc.	FE	5					CAUTION: This series does not include fiscal reports created to fulfill grant requirements. See RSIN 4.7.008.	
96	5.2.026	Facilities Reservation Logs	Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.		2						
97	3.2.003	Federal Tax Records	Includes 1099, W2, FICA, and other tax records	AC	4			AC= Tax due date, date the claim is filed, or date tax is paid, whichever is later.			26 CFR 31.6001 - 1(e)(2).



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98	15.4.001	FERPA Access Policies	Written policies and procedures demonstrating how a district meets the requirements of the Family Educational Rights and Privacy Act (FERPA) of 1974, as amended, and federal rules adopted under the act.	US						URRS-170	
100	1.2.013	Records Access and Locator Aids	Documentation used to provide and improve access to records. Includes indexes, card files, shelf lists, registers, guides, and other finding aids.	AC				AC= When aid is superseded, or no longer needed because associated records have been destroyed.		CAUTION: These records must carry the same retention period and archival code of the records they support.	



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101	16.2.001	Circulation Records	This series documents the borrowing of circulating library materials by qualified patrons. This series may include but is not limited to: the name and identification of the borrower; the titles of materials borrowed; the due date; overdue and fine payment notations; and related documentation and correspondence.	AC				AC=Transaction is completed		URRS-217 The disposal of circulation records needs not be documented through destruction authorizations, see RRS 1.2.001, or in records disposition logs, see RRS 1.2.010.	
102	4.7.004	Capital Asset Records	Documentation relating to the capital and fixed assets of a state agency, including equipment or property history cards containing data on initial cost, depreciation schedules or summaries used for capital outlay budgeting, and property sale, auction, or disposal records of agency owned equipment and property.	LA	3						



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103	15.1.003	International Student Records Enrolled/Accepted	This series documents nonacademic institution assistance to international students who have been admitted to academic programs. These records primarily concern institution admissions, immigration issues, and other nonacademic matters. This series may include but is not limited to: copies of visas; scholarship information; institution admissions forms; graduate school applications; transcripts of previous college work; grade reports of prior college work; grade reports from institutional courses; international student advisors' notes; degree completion certificates; explanations for student withdrawals; recommendations and evaluations of students; and related documentation and correspondence.	AC	3			AC=Graduation or date of last attendance.		URRS-180 CAUTION: Must be retained at least 1 year after final notice to USCIS.	8 CFR 214.3(g).



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104	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 authorization.	AC	75			AC=Termination of employment		See RSIN 3.1.038	
106	1.2.003	Forms History and Maintenance	Master versions of all forms used internally and externally by the agency, including subsequent revisions to an agency form or any associated design or design modification requests.	AC	2			AC= Until superseded or use of form is discontinued.			
108	5.3.003	Freight Claims	Freight or cargo claims against carrier for damage or loss to a shipment.	AC	2			AC= Resolution of claim.			43 TAC 218.61(d); 49 USC 14706(e).



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111	13.2.005	Gift Records - Institutional	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	URRS-76 CAUTION: The name or other identifying information about a donor may be withheld from public disclosure under the Public Information Act. Government Code Sec. 552.1235.	
112		Graduation Lists	Commencement programs or list.	PM							



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113	4.7.008	Grant Records	This series documents state, federal, and other sponsored grant projects participated in or administered by state agencies. It includes grant authorization records, which provide evidence of the award of grants to or by agencies; grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by agencies.	AC	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 funding agency. Records in this series may be subject to Government Code 441.1855. Agencies must ensure that records are retained for the appropriate retention period.	
115	3.1.018	Grievance Records	Records relating to the review of employee grievances or complaints against personnel policies, working conditions, etc.	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 (DOL). See RSIN 1.1.048.	



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116	2.1.008	Computer Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, equipment control systems, and associated processing files.	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.
117	5.4.008	Hazard Communication Plans	Plan that provides information to employees about the hazardous chemicals to which they may be exposed to in their workplace.	US	5						Texas Health and Safety Code, 502.009(g).
118	5.4.007	Hazardous Materials Training Records	Records of training given to employees in an agency hazard communications program. May include but is not limited to date of class, roster of attendees, subjects covered, and instructors.		5					See RSIN 3.1.027 for individual employee training records.	Texas Health and Safety Code, 502.009(g).



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120	3.2.004	Income Adjustment Authorization	Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.		2						29 CFR 516.6(c).
121	5.4.003	Inspection Records	Fire, safety, and other inspection records of agency facilities and equipment, including orders issued by inspectors to correct deficiencies in compliance with any code or regulations.	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 RSIN 5.2.028.	
122a	5.1.013a	Insurance Policies - 9/1/2015 and After	Liability, theft, fire, health, life, automobile, and other policies for government property and personnel including supporting documentation relevant to the implementation, modification, renewal, or replacement of policies. Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC= Expiration or termination of the policy according to its terms.			SB20 (84th Leg.)



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112b	5.1.013b	Insurance Policies – 8/31/2015 and Prior	Liability, theft, fire, health, life, automobile, and other policies for government property and personnel including supporting documentation relevant to the implementation, modification, renewal, or replacement of policies. Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC= Expiration or termination of the policy according to its terms.			SB20 (84th Leg.)
124	16.2.007	Interlibrary Loan (ILL) Records	This series documents requests made of the institutions within the university library system for materials by outside institutions and also institution requests for materials from other library systems. This series applies to circulating library resources only (not to archival, special collections or museum materials).	FE	3					URRS-209 CAUTION: Records Management Officers should ensure that ILL records maintained by a third-party vendor are retained in accordance with this record series.	



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125	4.5.002	Fiscal Management Reports	Internal and external periodic fiscal management reports and associated worksheets, including federal financial reports, salary reports, HUB reports, investment performance reports, etc.	FE	5					CAUTION: This series does not include fiscal reports created to fulfill grant requirements. See RSIN 4.7.008.	
127	5.2.016	Inventory System Update Listings	Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.	AC				AC= Transfer of information into annual listing.		See RSIN 5.2.006 for annual inventory listing.	
131	4.1.006	Investment Transaction Files	Records documenting the investment of any public funds that evidence the investment of such funds, the cancellation or withdrawal of investments, and similar activities.	FE	5					See RSIN 4.5.002 for reports associated with investments.	
132	3.3.025	Job Procedure Records	Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US	3						
133	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3						



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134	1.1.014	Legal Opinions and Advice	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV					O	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation, or opinions rendered for Public Information Act Requests. See RSIN 1.1.048, 1.1.020, and 1.1.021. ARCHIVES NOTE: Opinions and advice that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation. See page ix for additional guidelines.	



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135	1.1.004	Legislative Appropriation Requests (LAR)	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC	6			AC= September 1 of odd-numbered calendar years.		ARCHIVES NOTE: The final version of Legislative Appropriation Requests must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(3)(A). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period.	
137	16.2.008	Library Catalog	Catalog of bibliographic records used as a guide to library holdings.	US						URRS-201 The disposal or supersession of library catalog records needs not be documented through destruction authorizations, see RRS 1.2.001, or in records disposition logs, see RRS 1.2.010	



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138	5.6.004	License and Driving Record Checks		AC				AC= Until superseded or until termination of employment.			
139	1.1.048	Litigation Files	Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC	1			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.	O	ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation. See page ix for more information.	



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140	5.5.002	Telephone Activity Records	Telephone logs created for internal documentation purposes; station activity reports of internal listings of incoming/outgoing telephone activity to individual telephone stations; operator call transfers; summary detail reports; and system activity reports of internal listings of all incoming/outgoing agency telephone activity.	AV						See RSIN 4.1.001 for telephone bills.	
141	4.7.010	Long-Term Liability Records	Records documenting financial obligations of a state agency that are not payable within one year of the date of the balance sheet, including debentures, loans, deferred tax liabilities, bonds, and pension obligations.	AC	3			AC= Retirement of debt.			
143	5.1.004	Mail and Telecommunications Listings	Any mailing address, telephone or fax number, or email address records maintained by an agency on its employees or on entities or persons it serves.	US							



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144	2.1.002	Master File and Allocation Data	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records and associated processing files. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC				AC= Until electronic records are transferred to and made usable in a new system environment, or there are no electronic records being retained to meet an approved retention period established in this schedule that require the use of the system.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency master files and application data that the files do not fall under records series listed elsewhere.	
145	5.4.010	Safety Data Sheets	Safety Data Sheets (SDS) that list information relating to occupational safety and health for the use of various substances and products.	AC				AC= After sheets are updated or hazardous chemical no longer stored by agency, as applicable.		CAUTION: If Workplace Chemical Lists (RSIN 5.4.009) are not maintained, these records must be maintained for 30 years.	29 CFR 1910.1020(d)(1)(ii)(B)
146	5.2.024	Equipment Descriptions and Material Specifications	Equipment and material descriptions and specifications that may include but are not limited to detailed descriptions; lists of raw materials and ingredients; physical characteristics of items; special handling procedures; or technical drawings.	AC	2			AC= Equipment or material is no longer in the agency.			



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148	11.1.016	University and Academic Leadership Meeting Records	This series documents the meetings of the faculty and/or staff of a college, department, or office that sets policy and procedures for the unit. Participants at meetings may be composed exclusively of a mixture of faculty, staff, administrators, and managers; specialized and task oriented sub-committees composed of unit personnel are also documented as part of this record series. These meetings may concern routine matters of procedure and topics such as program development, planning, administrative and personnel management, and assessments of future needs. This series may include but is not limited to: official meeting notes/minutes; reports; and agendas.		4				O	URRS-13	
149	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.		1						



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150	1.1.060	Meetings, Audiovisual Recording of Open	Audiovisual recordings of open meetings of state boards, commissions, committees, and councils.	AC			90	AC= Approval of written minutes of the meeting by the governing body of an agency.		CAUTION: It is an exception to the AC+90 days retention that if an agency does not prepare written minutes, it must retain recordings of open meetings permanently, following the same retention requirements of RSIN 1.1.058. See also caution comment at RSIN 1.1.058.	
152	15.2.023	Name Change Records	This series documents student or applicant name changes reported to the admissions or registrar's offices by students. This series may include but is not limited to: letters requesting change in name; name change authorizations; and related documentation and correspondence.	AV						URRS-123 For other personal data update records (change of address forms, race/ethnicity questionnaires, and requests and authorizations to change other demographic data), see URRS 15.2.025.	



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153	5.1.014	Office Procedures	Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency, e.g. agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US	1						
154	5.3.004	Shipping Information	Shipping information, including order acknowledgements, packing slips, and related documentation.	AV						CAUTION: Some shipping information may require longer retention period. State agencies must determine if longer retention period is required based on the type of materials shipped to or from their agency.	



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155	1.1.023	Organization Charts	Charts or diagrams that show the structure of an agency and the relationships and relative ranks of its departments and job positions.	US					I	ARCHIVES NOTE: Only charts showing the overall arrangement and administrative structure of the state agency need to be transferred to the Archives and Information Services Division, Texas State Library and Archives Commission. Organizational charts showing division/department level detail are not considered archival.	



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156	2.2.001	System or Computer Monitoring Records	Hardware and software components for monitoring agency's computer system resources and performance.	AV						The disposal of monitoring records that are automatically overwritten need not be documented through destruction authorizations (RSIN 1.2.001) or in records disposition logs (RSIN 1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (RSIN 1.2.014).	
158	5.6.009	Parking Permits or Assignments	Records documenting issuance of parking permits and assignments.	US							



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159	16.1.026	Medical Records - Student Health Clinic	This series documents the medical services history provided for students treated by the student health center. This series may include but is not limited to: appointment request slips; summary sheets; bacteriology test results; treatment record forms; diagnosis sheets; health history/screening sheets; initial evaluation/assessment sheets; referral sheets; health center billing statements; personal health history sheets; dental examination sheets and X-rays; laboratory test results; physical therapy notes; X-ray release forms; X-ray requisitions with narrative of radiologist; notes; memoranda; and related correspondence.	AC	7			AC = Date of last service. Or, retain until patient reaches age 21, whichever is later.		URRS-191 CAUTION: For psychological and psychiatric case records, see URRS 16.1.034.	22 TAC 165.1(b).
160	3.1.019	Performance Appraisals	Job evaluations, performance appraisals, or other similar documents used to evaluate the performance of an employee.		2						29 CFR 1620.32(c).



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161	3.1.020	Personnel Corrective Action Documentation	Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	AC	5			AC= Termination of corrective action.		CAUTION: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under RSIN 3.1.021, all documentation from this series used to support disciplinary action must be retained for the minimum retention period described by RSIN 3.1.021.	



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162	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 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= Termination of employment.			



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163	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.		2						29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities].
164	3.3.024	Personnel Policies and Procedures	Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.	US	3						
165	5.1.011	☐ Photocopier and Telefax Usage Logs and Reports	Registers or logs of print copies and fax transmissions made by user or in total.	AV							



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166	1.1.024	Plans and Planning Records	Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are neither included in nor 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.	
168	3.1.023	Position/Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	4			AC= Until superseded or job eliminated.			40 TAC 815.106(i).
169	3.3.015	Position/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3						
170	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage	FE	3						
171	5.1.012	Change 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						



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172	2.1.010	Audit Trail Records	Files needed for electronic data audits. Records include but are not limited to: reports showing transactions accepted, rejected, suspended, and/or processed; history files or tapes; records of updates to application files; and security logs.	AC				AC= All audit requirements have been met.			
174	12.1.001	Faculty Appointment, Promotion and Tenure Records	Evaluations, recommendations, and similar documentation relating to the review process for promotion and tenure for all faculty or staff in the tenure track.	AC	5			AC=Termination of employment		URRS-57 CAUTION: For records of staff employee recognition, see RRS 3.1.037. CAUTION: Institutions should determine whether these materials possess archival value.	29 CFR 1602.49, 29 CFR 1602.49(a)



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175	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.	AC	3			AC=Last Action	O	CAUTION: These records may be maintained with related information, including meeting notices, proofs of publication, and meeting minutes, and require a longer retention period.	
177	3.1.038	Public Access Option Records	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						CAUTION: Most recent public access election information must be kept as long as the former employee verification records. See RSIN 3.3.011.	
178	1.1.020	Public Information Requests -Not Excepted	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) Also includes withdrawn requests.	AC	1			AC=Date request fulfilled or withdrawn.			



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179	1.1.021	Public Information Requests - Excepted	Includes all correspondence and documentation relating to requests for records that are excepted under the Public Information Act (Chapter 552, Government Code), including records provided to the legislature under section 552.008.	AC	2			AC= Date of notification that records are excepted.			
180	1.1.019	Public Relations Records	News, press releases, marketing files and collateral, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.		2				O		



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181	1.3.002	Publication Development Files	Physical and digital development and design files used to create State Publications, including but not limited to background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency	AV					O	See RSIN 1.3.001 for final State Publications created from development files. ARCHIVES NOTE: Successive and substantive drafts of major publications may be archival. Major is defined by both the publication's authorship and its impact on Texas and Texans. Original artwork, including photo prints and negatives that have significant value as evidence of agency programs as well as the potential for re-use, may be archival.	



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182	1.3.001	State Publications	One copy of each state publication as defined on page xi of this schedule, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see RSIN 1.1.058) also meets the definition, but it must be retained permanently; RSIN 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= 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, 441.103-441.105). 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 (13 TAC §§3.1-3.8).	



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186	1.2.010	Records Disposition Logs	Logs or similar records listing records disposed of by an agency, which might include records series title, dates of records, and date of disposition.		10					CAUTION: Disposition can mean destroyed or transferred.	
187	1.2.012	Records Inventories	Worksheets or working papers used to capture records inventory information, including location tracking and to document existence and requirements of a records series.	US							
188	1.2.005	Records Retention Schedule (Agency copy)	A records retention schedule (i.e. form SLR 105) that identifies the records that are created and maintained by an agency, provides the minimum timeframes the records must be retained, and includes instructions for their disposition. This series may include working files and documentation of certification and approval by the Texas State Library and Archives Commission.	US						Original is retained for 50 years by the State and Local Records Management Division, Texas State Library and Archives Commission.	



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189	1.2.006	Records Transmittal Forms	Forms used to track the transmittal of records to/from onsite and offsite storage areas or a transfer of physical custody.	AV							
190	1.1.069	Reports-Activity - Employees	Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.		1					CAUTION: If reports are used to document performance measures, see RSIN 1.1.064	



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192	4.5.003	Annual Financial Reports	Annual Financial Reports (AFR) required by the General Appropriations Act (100 Day Report).	AC	6			AC= September 1 of odd-numbered calendar years.		<p>ARCHIVES NOTE: The final version of Annual Financial Reports must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(2)(a). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period.</p> <p>CAUTION: If an agency does not produce a biennial or annual narrative report as described in RSIN 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.</p>	



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					Years	Months	Days				
193	1.1.066	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. Includes working files and related documentation used in creating final report.	AC	6			AC= September 1 of odd-numbered calendar years.		ARCHIVES NOTE: The final version of these agency reports must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3. The requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Working files and related documentation used in creating the final report may be disposed of at the expiration of the retention period.	



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194	1.1.067	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				O	See RSIN 1.1.065 for raw data used to produce reports. ARCHIVES NOTE: Reports are archival when they deal with significant aspects of the agency's programs. For agencies that have had an archival appraisal, separate this records series by each type of archival coding, A, R, or E. See page ix for more information.	
195	3.3.026	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						



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196	4.5.002	Reports-Fiscal-Internal Management	Internal and external periodic fiscal management reports and associated worksheets, including federal financial reports, salary reports, HUB reports, investment performance reports, etc.	FE	5					CAUTION: This series does not include fiscal reports created to fulfill grant requirements. See RSIN 4.7.008.	
198	1.1.064	Agency Performance Measures Documentation	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE	3					See RSIN 1.1.068 for reports on agency performance measures. 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.	



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199	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						See RSIN 1.1.067 for reports produced from raw data. CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. See RSIN 1.1.064.	
200	1.2.001	Destruction Authorization - Records	Documents authorizing final disposition of records under a certified records retention schedule. Records may also include destruction authorizations (e.g. form RMD 102) approved by Texas State Library and Archives Commission.		3					CAUTION: If destruction authorizations are maintained as part of RSIN 1.2.010 (Records Disposition Logs), then longer retention period applies.	



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201	15.3.002	Financial Aid Application and Award Records - All Local Grant, Scholarship, Loan, or Work-Study Programs	Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs. Includes records of recipients of all local grants, scholarships, loans, or work-study.	AC	3			AC = End of the award period		URRS-369	



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202	5.3.009	Request for Information	Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC				AC= Decision not to proceed with the procurement.		See RSIN 1.1.020 and 1.1.021 for public information requests. CAUTION: If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with RSIN 5.3.007a/b/c.	
203	5.1.007	Requisitions for In-Agency or Inter-Agency Copy/Printing Service	Includes word processing and data processing.	AV							
204	3.1.034	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.	AV						See RSIN 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.	
205	4.7.003	Uncollectible Accounts	Records of accounts deemed uncollectible, including write-off authorizations and returned checks, warrants, and drafts.	AC	3			AC= Date account deemed uncollectable.			



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207	5.4.012	Security Access Records	Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency or state facilities, equipment or automated systems.	AC	2			AC= Until superseded, date of expiration, or date of termination, whichever sooner.			
208	5.2.019	Service Orders/Work Orders	Requests or work orders for repairs or maintenance to facilities, vehicles, or equipment completed by internal agency personnel or external service providers.		1						
209	4.7.012	Signature Authorizations	Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	AC	4			AC= Until superseded, date of expiration, or termination of employee, whichever sooner.			



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210	2.1.007	Computer Software Programs	Agency-developed automated software applications, operating system files, and associated processing files, including job control language, programs, applications, scripts, 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.	
211	2.2.016	Software Registrations, Warranties, and License Agreements	Records documenting the registration and licensing of a software application to activate the software for legal use by the end users of a state agency, along with warranties providing that the software will perform in accordance with functional specifications.	LA	3						



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212	1.1.040	Speeches, Papers, and Presentations	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	2			AC= End of event, until superseded, or obsolete.	O	ARCHIVES NOTE: Only speeches, papers, and presentations given by or on behalf of executive staff, board or commission members, division directors and program heads require archival review.	13 TAC 6.94.
213	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal agency staff meeting.		1						
214	3.2.009	State Deferred Compensation Records	Records documenting the amount of pension or deferred compensation earned by individual employees.		4						



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					Years	Months	Days				
216	1.1.055	Strategic Plans	Operational strategic plans, which include descriptions of information resources programs, prepared in accordance with Government Code, 2054.095 and 2056.002. Includes working files and related documentation used in creating the final plan.	AC	6			AC= September 1 of odd-numbered calendar years.		ARCHIVES NOTE: The final version of Strategic Plans must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(2)(C). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period.	
217	15.2.032	Transcripts, Student	Transcript, or a record equivalent in function, of the academic achievement of each enrolled student, documenting courses taken, credits granted, grades received, and any degrees or certifications awarded (including any narrative assessments or evaluations prepared in lieu of an assigned grade).	PM						URRS-122	



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218	15.1.001	Admissions Records - Enrolled/Accepted	This series documents the application process for individuals seeking admission to the institution. This series may include but is not limited to: acceptance letters; applications for admission; entrance exam reports; letters of recommendation; medical records; readmission forms; recruitment materials; test scores; residency classification forms; transcripts from other colleges; transcripts from high school; and related correspondence. International student admissions records are included in this series.	AC	3			AC = Graduation or date of last attendance.		URRS-108 CAUTION: International student academic records must be retained at least 1 year after final notice to USCIS. CAUTION: See URRS 12.1.002 and URRS 12.1.004 for additional retention requirements for International student records.	



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219	15.1.002	Admissions Records - Not Enrolled/Denied	This series documents the application process for individuals seeking admission to the institution. This series may include but is not limited to: acceptance letters; applications for admission; entrance exam reports; letters of recommendation; medical records; readmission forms; recruitment materials; test scores; residency classification forms; transcripts from other colleges; transcripts from high school; and related correspondence.	AC	1			AC = End of application term.		URRS-109 CAUTION: International student academic records must be retained at least 1 year after final notice to USCIS. CAUTION: See URRS 12.1.002 and URRS 12.1.004 for additional retention requirements for International student records.	
220		Student Block and Clear		AC	5			AC=Until Released			
221	15.2.001	Academic Action Authorizations	Authorizations for academic actions, such as academic probation, suspensions, dismissals, reinstatement, etc.	AC	3			AC=Graduation or date of last Attendance.		URRS-172 CAUTION: See URRS 15.5.007 for disciplinary action records.	



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223	15.2.007	Course Registration and Status Records	Registration forms, class rosters, and similar records providing information on which courses student are registered for at the beginning of an academic term, including documentation evidencing the conditions under which courses are undertaken (e.g., audit, pass/fail, and credit/no credit authorizations or approvals) or evidencing changes to registration status during the term (e.g., add/drop forms by student or instructor).	AV						URRS-135 CAUTION: Not to be confused with withdrawal records. See URRS 15.2.035.	
224	15.2	Student Degree Plans - Paper or Electronic	A degree plan outlines academic guidelines for a specific degree.	AC	5			AC=Date of graduation or last date of attendance			
225	15.5.007	Student Conduct Records/Disciplinary Action	Student Conduct Records/Disciplinary Action Records	AC	5			AC = Graduation or date of last attendance.		URRS-303 CAUTION: For Title IX complaints, see AIN 322.	



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226	15.5.006	Statistical Reports - Students	Annual statistical reports related to academic subjects, such as admissions reports, enrollment statistics, grades, graduates/degree statistics, racial/ethnic composition, and other education-related matters submitted to the governing body, state or federal agencies, or accrediting organizations.	PM					I	URRS-179 Buckley Amendment Confidential record.	



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227	15.3.002	Financial Aid Application and Award Records - All Local Grant, Scholarship, Loan, or Work-Study Programs	Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs. Includes records of recipients of all local grants, scholarships, loans, or work-study.	AC	3			AC = End of the award period.		URRS-369	



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228	15.3.007	Financial Aid application and Award Records - Non-Awarded	Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs. Includes records of those who applied for but did not receive financial aid.	AC	1			AC = End of academic period for which aid denied.		URRS-370	



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229	11.1.003	Award Administration and History Records	This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. This series may include but not limited to: eligibility terms and selection criteria; award history and information on funding sources; award notifications; summary lists of winners, and biographies of winners.	AC				AC = Termination of award.	O	URRS-47 ARCHIVES NOTE: Only institutional awards merit archival review. Department-level awards recognizing employee or student achievement do not need to be reviewed for archival value. See RRS 1.1.019 for press releases.	



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230	15.3.002	Financial Aid Application and Award Records - All Local Grant, Scholarship, Loan, or Work-Study Programs	Including (to the extent applicable to specific programs): applications; financial aid needs analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs. Includes records of recipients of all local grants, scholarships, loans, or work-study.	AC	3			AC = End of the award period			



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232	15.5.018	Student Grievance Records	This series documents grievance brought forward by students against the institutions which do not result in litigation. Grievances may pertain to academic issues; housing; affirmative action and equal opportunity; student conduct; and other issues. This series may include but is not limited to: notices of grievance; informal discussion notes; grievance responses; formal hearing notes (including audio tapes); final summary statements; settlement agreements; appeals documentation; and related records. Portions of these records may be exempt from public disclosure.	AC	5			AC = After Graduation or date of last attendance.		URRS-304 CAUTION: If a grievance brought forward by students against the institution becomes part of litigation, it should be retained as an litigation record per AIN 139. If the grievance goes to the university ombudsman, the record should be retained as an record per RRS 3.1.039. CAUTION: For Title IX complaints, see AIN 322.	



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233	15.2.011	Student Grade Books (Original Grade Book)	Record of students in the course and work completed. Includes computer and non-computer-generated grade sheets, and oOther such materials that permit a reconstruction of a student's graded performance in a course	AC				AC = Expiration of grade appeal period.		URRS-110 CAUTION: Records Management Officers should ascertain university policy on contesting grades when establishing a plan for the destruction of departmental copies.	
234	15.2.012	Grade Change Records	This series documents grade changes submitted by instructors through the academic departments to the Registrar.	PM						URRS-118 CAUTION: Records Management Officers should ascertain university policy on contesting grades when establishing a plan for the destruction of departmental copies.	



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235	16.4.005	Student Housing Tenant Records	This series provides a record of occupancy in all institution administered housing -- residence halls, family housing, or cooperative housing. This series may include but is not limited to: housing applications and contracts; proof of admission records; and related documentation and correspondence.	AC	4			AC = End of student's occupancy or, for contracts, expiration of contract.		URRS-239	
236	16.5.008	Identification Card Administration Records	This series includes images, application forms, or similar records documenting the issuance of identification cards to university students, staff, or faculty.	AC				AC = Until superseded or expired.		URRS-252 CAUTION: For records documenting the issuance of keys, identification cards, or similar instruments of access to university facilities, see RRS 5.4.012.	



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238	16.5.002	Career Counseling and Placement Records	Used to assist students in planning career goals and objectives. This series also provides prospective employers with a record of student's scholastic and personal data. This series may include but is not limited to: career goals, academic credentials, personal data; work experience; honors; distinctions; consent forms for distinctions; consent forms for release of information; records regarding graduation or last date of attendance; and related information.	AC	5			AC=graduation date or last attendance			URRS-250



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239	15.5.004	Student Recruitment Records	This series documents effort of the institutional units to recruit students based upon disadvantaged status, academic performance, and other criteria. This series may include but is not limited to: prospects lists; advertisement tear sheets; direct mail pieces; promotional literature; and similar material used to recruit students.		3					URRS-515 CAUTION: For recruitment of individual students, see URRS 15.5.005. For recruitment of athletes into the institution's intercollegiate athletics program, see URRS 18.2.018.	
240	15.1.007	Residency Affidavits and Documentation	This series documents declarations filed by students regarding state residency status which is critical for determining tuition status. This series may include but is not limited to: affidavits; correspondence regarding residency; and related documentation.	AC	6			AC = Date of submission.		URRS-103 Not for residency classification forms submitted by applicants as part of the admissions process. See URRS 15.1.001 and URRS 15.1.002.	Texas Education Code, Section 54.052.



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242	15.2.028	Student Certification Records - Professional	This series documents the preparation of students earning degrees and/or certification for licenses or certificates to enter a profession (e.g., teaching certificates) and forms the basis of the initial certification by external entities for various professions. This series may include but is not limited to: applications for admission to a program; registration for practicum hours and evidence of the completion of the practicum; transcripts; narrative evaluations on practicum; notice of completion of hours required for certification; recommendations and evaluations; and related correspondence.	AC	1			AC = End of certification period.		URRS-129 CAUTION: Accrediting agencies may require longer retention periods for professional certification records. Refer to accrediting agency to determine the term of the certification period. See URRS 15.2.027 for records of academic certifications.	



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243	15.2.030	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. This series includes final and accepted copies of theses and dissertations.	PM					I	URS-117	



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244	15.2.032	Student Transcripts	Transcript, or a record equivalent in function, of the academic achievement of each enrolled student, documenting courses taken, credits granted, grades received, and any degrees or certifications awarded (including any narrative assessments or evaluations prepared in lieu of an assigned grade).	PM						URRS-122	
249	1.1.038	Customer Surveys	Surveys soliciting feedback from customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC				AC= Final disposition of summary report, or date of decision not to produce a report, as applicable.		See RSIN 1.1.067 for summary reports compiled from customer surveys.	



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250	2.1.009	Hardware and Software Technical Documentation	Records adequate to specify all technical characteristics necessary for reading or processing electronic records; to document modifications to computer programs; to access, retrieve, manipulate, and interpret data in an automated system; and allow for their timely, authorized disposition. Records include but are not limited to: user guides, system or sub-system definitions, system specifications, input and output specifications, system flow charts, program flow charts, program maintenance logs, change notices, data element dictionaries, file layouts, code books or tables, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	AC				AC= Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.



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251	5.5.002	Telephone Activity Records	Telephone logs created for internal documentation purposes; station activity reports of internal listings of incoming/outgoing telephone activity to individual telephone stations; operator call transfers; summary detail reports; and system activity reports of internal listings of all incoming/outgoing agency telephone activity.	AV						See RSIN 4.1.001 for telephone bills.	
253	15.2.029	Student Coursework - Academic Tests	This series documents student subject mastery in institution courses. This series may include but is not limited to: examinations and answers; quizzes and answers; homework assignments; course papers; term papers; and essay assignments.	AC	1			AC = End of academic term.		URRS-127 CAUTION: Coursework under dispute may not be destroyed until the resolution of the dispute. CAUTION: See URRS 15.2.015 for comprehensive examinations. See URRS 15.2.009 for graduate student qualifying examinations.	



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					Years	Months	Days				
254	15.1.006	National Exams - Test Administration Records	This series provides a record of the services rendered to clients by administering tests required of students seeking admission to various programs or seeking to substitute already acquired knowledge for formal college courses. Tests administered include Scholastic Aptitude (SAT); American College (ACT); Graduate Record Examination (GRE); Medical School Admission (MCAT); Pharmacy School Admission (PCAT); Business School Admission (GMAT); National Teacher Education (NTE); Veterinary College Admission Test (VCAT); and Test of English as a Foreign Language (TOEFL). This series may include but is not limited to: testing rules and regulations; rosters of test takers; seating charts; supervisors' reports; and vouchers for payment of testing. This series does not include test scores.	FE	3					URRS-106	



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256		Textbook Adoption Records		FE	3						
257	3.4.006	Time and Attendance Records (Timesheets and Time cards)	Records documenting individual employee's hours worked, including work schedules and documentation evidencing adherence to or deviation from normal hours for those employees working on fixed schedules.		4						40 TAC 815.106(i).
258	3.4.007	Time Off and/or Sick Leave Requests	Requests and authorizations for vacation, compensatory, sick, Family and Medical Leave Act (FMLA), sick pool leave, and other types of authorized leave, and supporting documentation	FE	3						Government Code, Section 661.152(d); 29 CFR 825.500(b).
259	3.3.030	Internal Training Administration Records	Records documenting the planning, development, implementation, administration and evaluation of in-house training programs, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids used in in-house training programs.	AC	2			AC = Close of training session, after training materials superseded, or termination of training program, as applicable.		See RSIN 1.1.043 for external training records. See RSIN 3.1.027 for individual employee training records. CAUTION: Does not include hazardous material training records. See RSIN 5.4.007.	



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260	1.1.043	Training Materials	Instructional materials and other records developed by an agency associated with training the entities or non-personnel individuals it regulates or serves, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids used in external training programs.	AC	1			AC = Close of training session, after training materials superseded, or termination of training program, as applicable.		See RSIN 3.3.030 for internal personnel training materials. CAUTION: Does not include hazardous material training records. See RSIN 5.4.007.	
261	3.1.027	Training and Educational Achievement Records (Individual)	Certificates of completion, certifications, licenses, transcripts, test scores, or similar records documenting the training, testing, certification, licensing, or continuing education achievements of an employee.	AC	5			AC= Termination of employment.			
262	15.2.031	Transcript Request	Requests for transcripts to be provided to student or sent to other institutions.	AV						URRS-115	



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263	1.1.057	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 ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. See page xii for examples.	AC				AC= Purpose of record has been fulfilled.		CAUTION: Records management officers should make certain records 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 (RSIN 1.2.001) or in records disposition logs (RSIN 1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (RSIN 1.2.014).	



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265	3.3.023	Reimbursable Activity Records - travel, etc.	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						
267	3.2.007	Unemployment Compensation Records	Records and documentation relating to unemployment compensation claims, including reimbursement of funds disbursed by Texas Workforce Commission (TWC).	AC	5			AC= Resolution of the claim.			
268	5.2.022	Utility Usage Reports	Any type of usage report or log used to monitor utilities such as gas, electric, water, etc.	AV						CAUTION: Does not include utility usage reports for agencies that operate their own utilities.	
269	5.6.003	Vehicles - Inspection, Repair and Maintenance Records	Records and documentation related to inspections, repairs, and maintenance for state vehicles.	LA	1					See RSIN 5.2.008 for non-vehicle equipment maintenance records.	
270	5.6.007	Vehicle Titles and Registration	Vehicle titles, registration information, and owner manuals for state vehicles.	LA							



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271	5.6.005	Vehicle Use Reports	Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	FE	4						
272	15.2.033	Veterans Affairs Certification Records	This series documents institutional submission of Certification of Enrollment reports required by the U.S. Department of Veterans Affairs (VA).	AC	3			AC = Date of last period certified.		URRS-361 See URRS 15.2.017 for Hazelwood Act documentation and URRS 15.2.034 for all other records pertaining to the entitlement status and enrollment of veterans in the institution.	38 CFR 21.4209(f), US Department of Veterans Affairs School Certifying Official Handbook.
273	3.2.005	W-4 Forms	Employer's copy of "Employee's Withholding Exemption Certificate."	AC	4			AC= Until superseded, obsolete, or termination of employment.			26 CFR 31.6001-1 (e)(2).
274	3.2.006	Wage Rate Tables	Records defining the wage or salary rate for each position in the agency expressed in dollars, grades, or step numbers.		2						29 CFR 516.6(a)(2).
275	3.3.020	Work Schedules/Assignments	Work, duty, shift, crew, or case schedules, rosters, or assignments.	AV							



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276	5.4.001	Worker Compensation Reports	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the State Office of Risk Management (SORM) or its predecessors or maintained internally on accident frequency.	CE	5					See RSIN 5.4.014a/b for non-employee accidents.	29 CFR 1904.33; 28 TAC 120.1(c).
277	5.4.009	Workplace Chemical Lists	Life of each hazardous chemical normally present in the workplace.		30						Texas Health and Safety Code, 502.005(d).
279	5.2.016	Inventory System Update Listings	Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.	AC				AC= Transfer of information into annual listing.		See RSIN 5.2.006 for annual inventory listing.	



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280	16.3.044	Police Audiovisual Recordings - Class C/Not Charged	Audiovisual recordings, including those from police vehicles, body worn cameras, or digital cameras, of persons detained for possible Driving While Intoxicated (DWI) or other violations. Includes recordings of persons on whom either a Class C misdemeanor charge is filed, or on whom no charges are filed.	AC			90	AC= Date of the stop		CAUTION: A recording created with a body worn camera and documenting an incident that involves the use of deadly force by a peace officer or that is otherwise related to an administrative or criminal investigation of an officer may not be deleted, destroyed, or released to the public until all criminal matters have been finally adjudicated and all related administrative investigations have concluded. The disposal of police audiovisual recordings need not be documented on a disposition log, but institutions should establish procedures governing disposal of these records as part of its records management plan.	Code of Criminal Procedure, Section 2.135-2(b).



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281	16.5.009	Non-Institution Student Records - Camps, etc.	This series documents and tracks the application, selection, and progress in special instructional programs of elementary through high school and non-institution students belonging to special, minority, or disadvantaged groups. Examples of programs to which this series applies are Science and Mathematics Investigative Learning Experiences (SMILE), Upward Bound, High School Equivalency, and other non-institution programs. This series may include but is not limited to: application and admission documentation; personal and family information; medical and health documentation; selection and decision making documentation; Educational Opportunity Program (EOP) documentation; notification of admission and non-admission; recommendations and evaluative materials; copies of academic records; counseling and advising notes and documentation; housing and conduct documentation; federal student aid reports; risk release and insurance forms; immigration and citizenship documentation; financial responsibility records; reports; and related documentation and correspondence.	AC	3			AC = Student separation from program.			



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282	15.2.007	Course Registration and Status Records - Overloads	Registration forms, class rosters, and similar records providing information on which courses student are registered for at the beginning of an academic term, including documentation evidencing the conditions under which courses are undertaken (e.g., audit, pass/fail, and credit/no credit authorizations or approvals) or evidencing changes to registration status during the term (e.g., add/drop forms by student or instructor).	AV						URRS-135 CAUTION: Not to be confused with withdrawal records. See URRS 15.2.035.	
283	15.2.020	Independent Study Records	This series documents departmental approval for students to enroll in independent study courses. This series may include but is not limited to: permission sheets with students' names; course names; number of credits; and faculty signatures.	AC	2			AC = Student separation from the department or institution.		URRS-125	



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284	16.3.035	Offense Records - Class A and B Misdemeanors and State Jail Felonies	Cases 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. Includes offense and supplemental offense reports; investigation reports and notes; witness statements; latent fingerprints; results of chemical analysis and polygraph tests; crime scene, mug shot, and other photographs; laboratory reports; citations; affidavits; criminal process; victim impact statements; and other records relating and customary to the investigation of criminal offenses or other violations of state law or local ordinance.		2					URRS-232 CAUTION: Records of cases not cleared must be retained until the statute of limitations has expired. NOTE: Records may be destroyed upon the death of the individual, if known.	



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285	16.3.037	Offense Records - First-Degree and Capital Felonies	Cases 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. Includes offense and supplemental offense reports; investigation reports and notes; witness statements; latent fingerprints; results of chemical analysis and polygraph tests; crime scene, mug shot, and other photographs; laboratory reports; citations; affidavits; criminal process; victim impact statements; and other records relating and customary to the investigation of criminal offenses or other violations of state law or local ordinance.		50					URRS-391 CAUTION: Records of cases not cleared must be retained until the statute of limitations has expired. NOTE: Records may be destroyed upon the death of the individual, if known.	



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286	16.2.010	Patron registration Records - Special Collections Department	Patron registration forms filled out by archives users to gain access to the reading room to view archival materials. May also include photocopies of photo identification or other related materials.		4					URRS-207 See RRS 5.4.011 for sign-in sheets, guest books, patron logs, and similar records documenting visitors to limited access or restricted areas of university facilities.	
287	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.		3						
288	3.1.026	Criminal History Checks - Background Check	Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC				AC= The criminal history record has served the immediate purpose for which it was obtained.		CAUTION: An agency that is authorized to obtain a 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.	



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290	3.1.042	ADA Accommodation Requests	Employee or applicant requests for reasonable accommodation under the ADA (Americans with Disabilities Act)	AC	2			AC=For employees, termination of employment; for job applicants who were not selected, date of application			29 CFR 1602.31.



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291	16.3.045	Police Audiovisual Recordings - Offense Greater than Class C	Audiovisual recordings, including those from police vehicles, body worn cameras, or digital cameras, of persons detained for possible DWI or other violations. Includes recordings for offenses greater than Class C misdemeanors.	AC				AC = 30 days after entry of final judgment in the case, or 90 days after date of stop, whichever is later.		URRS-415 CAUTION: A recording created with a body worn camera and documenting an incident that involves the use of deadly force by a peace officer or that is otherwise related to an administrative or criminal investigation of an officer may not be deleted, destroyed, or released to the public until all criminal matters have been finally adjudicated and all related administrative investigations have concluded. The disposal of police audiovisual recordings need not be documented on a disposition log, but institutions should establish procedures governing disposal of these records as part of its records management plan.	Code of Criminal Procedure, Section 2.135-2(b).



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292	1.1.058	Meetings, Agendas and Minutes of Open	Agendas and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Chapter 551, Government Code.	PM					I	<p>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.</p> <p>CAUTION: This records series and RSIN 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.</p>	



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293	1.1.059	Meetings, Agendas and Minutes or Audiovisual Recordings of Closed	Agendas, minutes, or audiovisual recordings of closed meetings of state boards, commissions, committees, and councils.	AC	2			AC= The date of the meeting or completion of pending action involving the meeting, whichever is later.		See caution comment at RSIN 1.1.058.	Government Code, 551.104(a).
294	1.1.062	Meetings – Supporting Documentation	Documents submitted at meetings of state boards, commissions, committees, and councils, including exhibit items, documentation for agenda items, public comment forms, 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 RSIN 1.1.058.	
295	1.1.068	Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC	6			AC= September 1 of odd-numbered calendar years.		See RSIN 1.1.064 for documentation used to produce reports on agency performance measures.	



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296	1.1.076	Subpoenas	Subpoenas for production of evidence produced for litigation in which the state agency is not a party. Includes legal documents requiring recipient to appear in court to testify, or to produce records to be used in litigation.	AC				AC= Date request fulfilled.		For subpoenas related to litigation in which the state agency is a party, see RSIN 1.1.048.	



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297	1.1.077	Release of Records Documentation	Records that document the release of records or information through any method other than a Public Information Act request or subpoena (including employment verification).	AC				AC= Date records released.		See RSIN 1.1.020 for records released under the Public Information Act. See RSIN 1.1.076 for records produced for a subpoena. See RSIN 1.1.048 for records produced for litigation. CAUTION: Some records releases may require longer retention period. Agencies must determine if longer retention period is required based on any federal or state statutes or regulations that apply to the agency's functions. Agency legal staff should be consulted.	



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298	1.1.078	Waivers of Liability	Waivers of liability, including statements signed by volunteers acknowledging non-entitlement to benefits, agreeing to abide by state agency policies, etc.	AC	3			AC= Date of cessation of activity for which the waiver was signed.		CAUTION: If an accident occurs to any person covered by a signed waiver of liability, it must be retained for the same period as accident reports. See RSIN 5.4.001 and 5.4.014.	
299	2.2.017	Help Desk Tickets	Records documenting the request for and response to help desk tickets received by divisions or units, such as information technology.	AV							
300	2.2.018	Biennial Information Security Plan	Biennial information security plan for protecting the security of the agency's information.	US						1 TAC 202.23; 1 TAC 202.73.	



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301	3.1.040a	Employee Drug Testing and Screening Records – Positive Results and Calibration	Records of employee alcohol test results indicating an alcohol concentration of 0.02 or greater; records of employee verified positive controlled substances test results; documentation of refusals to take required alcohol and/or controlled substances tests; employee evaluation and referrals; calibration documentation; records related to the administration of the alcohol and controlled substances testing programs; copy of each annual calendar year summary.		5						49 CFR 382.403 for commercial motor vehicle drivers.
302	3.1.040b	Employee Drug Testing and Screening Records – Collection Records	Records related to the alcohol and controlled substances collection process (except calibration of evidential breath testing devices).		2						See RSIN 3.1.040a for calibration documentation.
303	3.1.040c	Employee Drug Testing and Screening Records – Negative Results	Records of negative and canceled controlled substances test results and alcohol test results with a concentration of less than 0.02.		1						



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304	3.1.041	Employee Acknowledgement and Agreement Forms	Agreements between employee and agency authorizing certain actions, including acknowledgement forms, telecommuting agreements, outside/secondary employment authorizations, or other documentation that show proof of receipt and awareness of and adherence to agency policies and procedures.	AC	2			AC= Until superseded, obsolete, or date of separation, as applicable.			
305	3.3.033	Recruitment Plans	Diversity and recruitment plans and related workforce analyses.		3						Texas Labor Code, 21.501 and 502.
306	4.5.010	Unclaimed Property Reports and Documentation	Sufficient records to verify information on unclaimed property previously reported to the State Comptroller showing the name and last known address of the apparent owner of reportable unclaimed property, a brief description of the property, and the balance of each unclaimed account, if appropriate.	AC	10			AC= Date on which property is reportable.			Property Code, Section 74.103(b).



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307	4.7.013	Federal Tax Information (FTI) Audit Logs	Logs documenting requests and receipt of FTI, including any information created by the recipient that is derived from federal return or return information received from the IRS or obtained through a secondary source.		5						IRS Publication 1075.
308	5.2.029	Returned Mail	Documentation of mail returned by the postal or other mail delivery services as undeliverable.	AC	1			AC= Date returned.		CAUTION: If corrected address provided and mail rerouted, maintain address update documentation for prescribed retention period.	
309	5.3.010	Vendor Records/W-9	W-9 IRS Form used to request a taxpayer identification number (TIN) for reporting information to the Internal Revenue Service (IRS). This includes W-9 forms received by a state agency from vendors.	AC	3			AC= Date account is opened or date instrument purchased.			26 CFR 31.3406(h)-3(g).



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310	5.1.018	Surveillance Videos	Surveillance videos of buildings, facilities, vehicles, or other state property.	AV						See RSIN 5.4.001 or 5.4.014 if video is needed for an accident investigation or RSIN 1.1.048 if the video is needed as evidence in litigation. The disposal of surveillance videos need not be documented through destruction signoffs (RSIN 1.2.001) or in records disposition logs (RSIN 1.2.010).	
311	4.7.014	Indirect Cost Plans	Indirect cost plan and supporting documentation created or maintained in the development of the plan.	AC	3			AC= If submitted for negotiation of rate, date of submission; if not submitted for negotiation, the end of the fiscal year covered by the proposal, plan, or other computation.			2 CFR 200.333(f)(1) and (2).



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312	5.4.014a	Accident Reports – Adults	Reports of accidents to adults on state property or in any other situation in which the state agency could be a party to a lawsuit.	AC	3			AC= Date of report, or if a claim is filed, after settlement or denial of claim, whichever applicable.			
313	5.4.014b	Accident Reports – Minors	Reports of accidents to minors on state property or in any other situation in which the state agency could be a party to a lawsuit.	AC	3			AC= Date minor reaches the age of majority, or if a claim filed, after settlement or denial, whichever applicable.			



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314	5.4.015	Hazardous Materials – Administrative Records	This series documents a building by building survey and plan to correct asbestos material hazards. This series 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. Environmental, biological, and material safety monitoring reports concerning toxic substances and harmful physical agents in the workplace, including analyses derived from such reports.	AC	30			AC= Date of project completion.		See RSIN 5.4.016a/b for hazardous material exposure records.	29 CFR 1910.1001; 29 CFR 1910.1020(d)(ii); 25 TAC 295.62(a).



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315	5.4.016a	Hazardous Materials – Employee Exposure Records	Environmental, biological, and material safety monitoring reports, including health or physical examination reports or certificates of employees, who have experienced exposure to toxic substances, harmful physical agent, or bloodborne pathogens in the workplace, including analyses derived from such reports.	AC	30			AC= Termination of employment.			29 CFR 1910.1020(d); 29 CFR 1910.1001; 29 CFR 1910.1020(d)(1)(ii).
316	5.4.016b	Hazardous Materials – Periodic Monitoring	Environmental, biological, and material safety monitoring reports, including health or physical examination reports or certificates of employees, for whom periodic monitoring of health or fitness is required concerning toxic substances, harmful physical agent, or bloodborne pathogens in the workplace, including analyses derived from such reports.	US	2						29 CFR 1910.1020(d); 29 CFR 1910.1001; 29 CFR 1910.1020(d)(1)(ii).



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317	5.4.017	Emergency Response and Recovery Records	This series documents the events and damages to institutional property due to storms, riots, fires, droughts, floods, and other events affecting citizens and facilities within the jurisdiction of the institution. This series 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.		3				O	See RSIN 5.4.013 for Continuity of Operations Plans (COOP). CAUTION: If grant monies are received to assist with the response or recovery, the retention requirements for this series may vary depending on the specific funding agency.	
318	5.4.018	Annual Audit Plan	Includes working papers and agency risk assessment used to develop the plan, per Texas Internal Auditing Act requirement.	AC	7			AC= After final plan has been issued.		See RSIN 1.1.002 for individual Audit records not related to the development of the Audit Plan.	Government Code, 2102.013.



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319	5.4.019	Audit Peer Review – Working Papers	Documents collected or generated as part of the process of reviewing other state agency internal audit programs. Includes but is not limited to: self-assessments, worksheets, surveys or questionnaires, evaluations, and other documents as described in the State Agency Internal Audit Forum (SAIAF) Peer Review Manual.	AC	1			AC= After final report has been issued.		See RSIN 1.1.002 for individual Audit records not related to the peer review of an Audit Plan.	Government Code, 2102.007(a)(5).



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320	15.3.013	Financial Aid Disbursement and Repayment Records - All Other University-Administered Federal or State Loan Programs	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans. Includes disbursement and repayment records of all other federal or state loan programs whose funds are administered by the university.	AC	5			AC = Date of final repayment or cancellation.		URRS-380	



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321	5.2.005	Calibration Records (Equipment or Instrument)	Records documenting the determination, checking, or rectifying of any instrument giving quantitative measurements.		2					CAUTION: Some equipment and instruments may require longer retention period. State agencies must determine if longer retention period is required based on the type of equipment or instruments they use within their agency.	
*322	15.5.010	Title IX Complaints	Title IX complaints, investigations, and determination of responsibility, including informal resolution or appeal.	AC	7			AC=Final Resolution of issue and appeals.			34 CFR 106.45(b)(10).



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*323	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 EEOC (Equal Employment Opportunity Commission). 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 RSIN 1.1.048, 3.1.006, 3.1.018, 3.1.020, and 3.1.021.	