

July 26, 2019



Shirley Dickerson
Library Director
Stephen F. Austin State University
PO Box 13055, SFA Station
Nacogdoches, TX 75962

Re: Agency records retention schedule amendment approved for use.

Dear Ms. Dickerson:

Amendment 2 to your agency's 7th recertification of your records retention schedule is approved for use as of July 15th 2019. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

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

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

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Andrew Glass at 512-463-2631 or aglass@tsl.texas.gov.

Sincerely,

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

Craig Kelso
Director and State Records Administrator

cc: Agency head & Will Honea

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 Chairman
Michael C. Waters

Members

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

Director and Librarian
Mark Smith

Assistant State Librarian
Gloria Meraz

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Informing today
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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 755

Agency Name Stephen F. Austin 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: Jonathan Helmke
Name (Print or type): Jonathan Helmke
Date: 6/24/19

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Signature, Name, Date fields with a red stamp: Not Required at This Time

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

Signature: Gloria Mera
Name (Print or type): Gloria Mera
Date: July 15, 2019

Cert/Recert No. 7 Amendment No. 2

CAUTION

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

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



Records Retention Schedule Amendment

1. Agency Code: 755		2. Agency Name: Stephen F. Austin State University											
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	13. N, C, O	14. Current AIN
					Years	Months	Days						
SFA100.6.16		Liability Release Forms/Records		PM						Opinion, SFASU- General Council		O	SFA100.6.16
SFA100.6.16a		Liability Release Forms/Records	Participant is over 18 years of age	AC	4			AC=End of activity, event, or program for which the waiver or release is issued		Opinion, SFASU- General Council		N	
SFA100.6.16b		Liability Release Forms/Records	Participant is under 18 years of age	AC	20	3		AC=End of activity, event, or program for which the waiver or release is issued		Opinion, SFASU- General Council		N	

<p>Retention Codes (field 7)</p> <p>AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end</p>	<p>FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded</p>	<p>Archival Codes (Field 10)</p> <p>A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist</p>
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April 30, 2019



Shirley Dickerson
Library Director
Stephen F. Austin State University
PO Box 6078, SFA Station
Nacogdoches, TX 75962

Re: Agency records retention schedule amendment approved for use.

Dear Ms. Dickerson:

Amendment 1 to your agency's 7th recertification of your records retention schedule is approved for use as of April 15th 2019. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

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

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

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Andrew Glass at 512-463-2631 or aglass@tsl.texas.gov.

Sincerely,

A handwritten signature in black ink, appearing to read "Gk", which is the signature of Craig Kelso.

Craig Kelso
Director and State Records Administrator

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 Chairman
Michael C. Waters

Members

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

Director and Librarian
Mark Smith

Assistant State Librarian
Gloria Meraz

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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 755

Agency Name Stephen F. Austin 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

Shirley Diekerson

Name *(Print or type)* Shirley Diekerson

Date 4-3-19

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office

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

Signature _____

Name *(Print or type)* _____

Date _____

Not Required at This Time

Texas State Library and Archives Commission

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

Signature

Gloria Meraz

Name *(Print or type)*

Gloria Meraz

Date

4/15/19

Cert/Recert No.

7

Amendment No.

1

CAUTION

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

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STATE OF TEXAS
Records Retention Schedule

SLR 122
 Rev. 2017-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end

FE – Fiscal year end
 LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

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

1. Agency Code:			2. Agency Name:										
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	13. N, C, O	14. Current AIN
					Years	Months	Days						
SFA100.7.2a		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					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.		N	



STATE OF TEXAS
Records Retention Schedule

SLR 122
 Rev. 2017-07

Retention Codes (field 7)

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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	13. N, C, O	14. Current AIN
					Years	Months	Days						
SFA100.7.2b		Offense Records - Class C Misdemeanors	Arrest reports and citations for Class C misdemeanors and unclassified violations of state law or local ordinance punishable by fine only, such as Minor in Possession (MIP), Minor in Consumption, and possession of drug paraphernalia.			6						N	



STATE OF TEXAS
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SLR 122
 Rev. 2017-07

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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	13. N, C, O	14. Current AIN
					Years	Months	Days						
SFA100.7.2c		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					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.		N	



STATE OF TEXAS
Records Retention Schedule

SLR 122
 Rev. 2017-07

Retention Codes (field 7)

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

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

1. Agency Code:			2. Agency Name:										
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	13. N, C, O	14. Current AIN
					Years	Months	Days						
SFA100.7.2d		Offense Records - Second and Third-Degree Felonies and DWI Offenses	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		10					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.		N	



December 10th 2018

Shirley Dickerson
Library Director
Stephen F. Austin State University
PO Box 13055, SFA Station
Nacogdoches, TX 75962

Re: Agency records retention schedule approved for use.

Dear Ms. Dickerson,

Lorenzo de Zavala
State Archives and
Library Building

Your agency's records retention schedule is approved for use as of 12/04/2018. Your currently approved records retention schedule is available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please ensure that all old copies of the schedule are superseded with this recertified copy.

1201 Brazos Street
Austin, Texas
78701

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

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

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

www.tsl.texas.gov

Commission Chairman

Michael C. Waters

Members

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

During a certification period, changes may need to be made to your schedule. State regulations (13 TAC §6.4) also allow for the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, or if you have any other questions, please contact the Government Information Analyst assigned to your agency, Andrew Glass at 512-463-2631 or aglass@tsl.texas.gov.

Director and Librarian

Mark Smith

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

Assistant State Librarian

Gloria Meraz

Sincerely,

Craig Kelso
Director and State Records Administrator

cc: Agency head

TSLAC

Preserving yesterday
Informing today
Inspiring tomorrow



LIBRARY
ARCHIVES

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 755
Agency Name STEPHEN F. AUSTIN 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 Jonathan Helmske for Shirley Dickerson
Name (Print or type) Jonathan Helmske
Date 11/1/2018

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Signature _____
Name (Print or type) _____
Date _____

Not Required at This Time

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

Signature Gloria Meraz
Name (Print or type) Gloria Meraz
Date 12/4/18

Cer/Recert No. 7 Amendment No. _____

CAUTION

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

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





STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 755			2. Agency Name: Stephen F. Austin State University								
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				
SFA1.1.2	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 retains any copies of its audits performed on Texas state agencies.	
SFA1.1.4	1.1.004	Legislative Appropriations Requests	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	I	Archival Note: The archival requirement is met by sending the required copies of the requests to the East Texas Research Center (ETRC) and the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.	
SFA1.1.6	1.1.006	Complaint Records	Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint	AC	2			AC = Final disposition of the complaint		CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048	



STATE OF TEXAS
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SLR 105
Rev. 2017-07

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1. Agency Code: 755			2. Agency Name: Stephen F. Austin State University								
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				
SFA1.1.7	1.1.007	Correspondence - Administrative	Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them		4				O	Archival Note: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the ETRC when these records have met their retention periods. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.	



STATE OF TEXAS
Records Retention Schedule

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 Rev. 2017-07

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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				
SFA1.1.8	1.1.008	Correspondence - General	Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.		2					SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.	
SFA1.1.10	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						
SFA1.1.11	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		



STATE OF TEXAS
Records Retention Schedule

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Rev. 2017-07

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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				
SFA1.1.13	1.1.013	Calendars, Appointment and Itinerary Records	Calendars, appointment books or programs and scheduling, or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.	CE	1				O	Archival 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 ETRC when these records have met their retention periods. CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.	
SFA1.1.13aa		Calendars, Academic			5				O		



STATE OF TEXAS
Records Retention Schedule

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Rev. 2017-07

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1. Agency Code: 755			2. Agency Name: Stephen F. Austin State University								
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					Years	Months	Days				
SFA1.1.14	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. SEE item number 1.1.048.	
SFA1.1.19	1.1.019	Public Relations Records	News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.		2				O		
SFA1.1.20	1.1.020	Public Information Requests - Not Exempted	Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code).	AC	1			AC = Date request fulfilled			
SFA1.1.21	1.1.021	Public Information Requests-Exempted	Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code)	AC	2			AC=Date of notification that records are exempt			
SFA1.1.23	1.1.023	Organization Charts		US					I		



STATE OF TEXAS
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					Years	Months	Days				
SFA1.1.24	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 not included in or directly related to other records series in this schedule.	AC	3			AC=Decision made to implement or not to implement results of planning process.	O	Archival Note: Data processing planning records are not archival	
SFA1.1.26	1.1.026	Texas Register Submissions	Copies of all proposed, withdrawn, emergency, and adopted rules; open meetings notices; or any other documents required by law to be submitted to the Texas Register.	AC	1			AC = Date of publication in the Texas Register.			
SFA1.1.38	1.1.038	Customer Surveys	Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC				AC = Final disposition of summary report		SEE item number 1.1.067 for summary reports compiled from customer surveys.	
SFA1.1.40	1.1.040	Speeches, Papers and Presentations	Notes or text of speeches, papers or reports delivered in conjunction with agency work.	AC				AC=End of term in office or termination of service in a state position	O	Archival Note: Review required before disposal.	
SFA1.1.41	1.1.041	Suggestion System Records	Suggestions submitted by agency personnel and responses		1						
SFA1.1.43	1.1.043	Training Materials	Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US	1						



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					Years	Months	Days				
SFA1.1.48	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	Archival Note: Review required before disposal. Cases that set legal precedent or exhibit historical value will be evaluated by the ETRC for archival preservation.	
SFA1.1.55	1.1.055	Strategic Plans	Information resources and operational strategic plans prepared in accordance with Sections 2054.095 and 2056.002, Government Code.	AC	6			AC=September 1 of odd-numbered calendar years	I	Archival Note: The archival requirement is met by sending the required copies of the plans to the ETRC and the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
SFA1.1.56	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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SFA1.1.57	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 on-going records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; telephone message notifications; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC				AC=Purpose of record has been fulfilled		CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction signoffs (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	



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SFA1.1.58	1.1.058	Meetings Agenda and Minutes	Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.	PM					I	Archive Note: Agency retains permanent record copy. The archival requirement will be met by sending a copy to the ETRC. CAUTION: This records series and item numbers 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.	



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SFA1.1.59	1.1.059	Meetings, Certified Agendas or Tape Recordings of Closed	Certified agendas or tape recordings of closed meetings of state boards, commissions, committees and councils.	AC	2			AC= The date of the meeting or completion of pending action involving the meeting, whichever is later.		SEE caution comment at item number 1.1.058.	Government Code, Section 551.104(a).
SFA1.1.60	1.1.060	Meetings, Audio or Videotapes of Open		AC			90	AC=Official approval of written minutes of the meeting by the governing body of an agency.		CAUTION: Minutes of state agencies are permanent records. Audio and videotapes are not permanent media. State agencies may not retain audio or videotapes of the meetings of governing bodies in lieu of written minutes. The proceedings of all meetings of state boards, committees, commissions, and councils must be reduced to writing. SEE ALSO caution comment at item number 1.1.058.	
SFA1.1.61	1.1.061	Meeting-Notes	Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC			90	AC = Approval of the formal minutes by the governing body.		SEE caution comment at item number 1.1.058.	



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SFA1.1.62	1.1.062	Meetings - Supporting Documents	Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.		2				I	SEE caution comment at item number 1.1.058.	
SFA1.1.63	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documents taken at internal agency staff meetings.		1						
SFA1.1.64	1.1.064	Agency Performance Measure 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					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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SFA1.1.65	1.1.065	Reports and Studies (Non-Fiscal)-Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV						CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. SEE especially item number 1.1.064.	
SFA1.1.66	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.	AC	6			AC = September 1 of odd numbered calendar years.	I	Archival Note: The archival requirement is met by sending the required copies of the reports to the ETRC and Texas State Publications Depository Program, Texas State Library and Archives Commission.	
SFA1.1.67	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 entries.		3				O		



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SFA1.1.68	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.			
SFA1.1.69	1.1.069	Reports - Activity	Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.		1					CAUTION: SEE item number 1.1.064.	
SFA1.1.70	1.1.070	Agency Rules, Policies, and Procedures - Final	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Completion or termination of program, rules, policies or procedures.	O	SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.	



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SFA1.1.71	1.1.071	Agency Rules, Policies, and Procedures- Working Files	Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Completion or termination of program, rules, policies or procedures.	O	See also item number 1.1.070.	
SFA1.1.72	1.1.072	Public Information Reports	Reports made to the Office of the Attorney General on an agency's Public Information Act activities.		2						
SFA1.1.73	1.1.073	Administrative Hearings	Transcriptions and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be maintained with related information including notices, proofs of publication, and meeting minutes.	AC	3			AC = Last action.	O		
SFA1.1.74	1.1.074	Sunset Review Report and Documentation		AC	3			AC = After the subsequent Sunset Review.	O		



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SFA1.1.75	1.1.075	Alternative Dispute Resolutions- Final Agreement	Final agreement described by Government Code, 2009.054(c), associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state agency participated as a party on the agency's behalf.	AC	4			AC = Date of final agreement.			Texas Civil Practice and Remedies Code, Chapter 154.071.
SFA1.2.1	1.2.001	Destruction Authorizations	Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE	3						
SFA1.2.3	1.2.003	Forms History File	Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	AC	1			AC = Discontinuance use of form.			
SFA1.2.4	1.2.004	Forms Inventory	Any periodic listing of all forms used internally or externally by an agency.	US							
SFA1.2.5	1.2.005	Records Retention Schedule (SLR 105)	Agency copy, formerly RMD 105. Includes documentation of certification and approval-forms SLR 105C (formerly RMD 105C) and/or other forms designated by the State Records Administrator.	US						Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	



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SFA1.2.10	1.2.010	Records Disposition Logs	Logs or similar records listing records destroyed or transferred to the Archives showing records series titles, dates of records, and the date destroyed or transferred.	US	10						
SFA1.2.12	1.2.012	Records Inventory Worksheets		US							
SFA1.2.14	1.2.014	Records Management Plans	Records management plans and similar records that establish the policies under which records and information are managed in an agency.	US	1						



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SFA1.3.1	1.3.001	State Publications	One copy of each state publication as defined on page xi of the introduction of The Texas State Records Retention Schedule, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently, item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003, which also meet the definition, are closely associated with the appropriations process and must be retained	AC	2			AC = Until superseded or obsolete.	I	Archive Note: Pamphlets, reports, studies, proposals, and similar material printed by or for the university or any of its departments, subdivisions, or programs and distributed to or intended for distribution to the public on request and departmental or program newsletters designed for internal distribution. One copy sent to the East Texas Research Center (ETRC) for permanent retention. CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101-44.106). For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC 3.1-3.16).	



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SFA1.3.2	1.3.002	Publication Development Files	Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV					O		
SFA2.1.1	2.1.001	Processing Files	Machine-readable files used in the creation, utilization, and updating of master files.	AC				AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.	



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SFA2.1.2	2.1.002	Master Files	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC				AC= Completion of 3rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.	
SFA2.1.7	2.1.007	Software Programs	Automated software applications and operating system files including job control language, program listing/source code, etc.	AC				AC = Until electronic records are transferred to and made usable in a new software environment or there are no electric records being retained to meet an approved retention period that require the software to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.



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SFA2.1.8	2.1.008	Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC				AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.



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SFA2.1.9	2.1.009	Technical Documentation	Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate, and interpret data in an automated system such as a data element dictionary, file layout, code book or table and other records that explain the meaning, purpose, structure, logical relationships and origin of the data elements.	AC				AC = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be 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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SFA2.1.10	2.1.010	Audit Trail Records	Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC				AC = All audit requirements have been met.			
SFA2.1.11	2.1.011	Finding Aids, Indexes, and Tracking Systems	Automated indexes, lists, registers and other finding aids used to provide access to records.	AC				AC = The related records have been destroyed.		CAUTION: These records must carry the same retention period and archival code of the records they support.	
SFA2.2.1	2.2.001	System Monitoring Records	Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.	AV							
SFA2.2.2	2.2.002	Chargeback Records to Data Processing Services Users	Records used to document, calculate costs, and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.	FE	3						



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SFA2.2.4	2.2.004	Computer Job Schedules and Reports	Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.			3					
SFA2.2.10	2.2.010	Data Processing Policies and Procedures	Manuals, guidelines, or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.	US	3					CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number 2.1.009.	
SFA2.2.11	2.2.011	Batch Data Entry Control Records	Forms and logs used to reconcile batches submitted for processing against batches received and processed.	AC				AC = When reconciliation confirmed.			
SFA2.2.12	2.2.012	Output Records for Computer Production	Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV							



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SFA2.2.13	2.2.013	Quality Assurance Records	Information verifying the quality of system, hardware, or software operations including records of errors or failures and the loss of data resulting from such failures, documentation of abnormal termination and of error free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy.	AC				AC = No longer needed as an audit trail for any records modified.			
SFA2.2.14	2.2.014	Internet Cookies	Data resident on hard drives that make use of user specific information transmitted by the Web server onto the user’s computer so that the information might be available for later access by itself or other servers.	AV						The disposal of Internet cookies need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	



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SFA2.2.15	2.2.015	History Files-Web Sites	A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.	AV						The disposal of history files need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	
SFA2.2.16	2.2.016	Software Registration, Warranties and License Agreements		LA	3						
SFA3.1.1	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.		2						29 CFR 1602.49(a) [State Universities].



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					Years	Months	Days				
SFA3.1.2	3.1.002	Applications for Employment - Hired	Applications, resumes, transcripts, letters of references, 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			
SFA3.1.6	3.1.006	Employee Counseling Records	Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisory level except in those agencies with counseling staff.	AC	3			AC = Termination of counseling.			
SFA3.1.11	3.1.011	Employee Insurance Records	Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	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 item number 3.2.001.	



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SFA3.1.12	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 1602.49(a) (State Universities).
SFA3.1.13a	3.1.013	Employment Contracts	Employment contracts executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the contract according to its terms.			
SFA3.1.13b	3.1.013	Employment Contracts	Employment contracts executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the contract according to its terms.			
SFA3.1.14	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, preemployment drug screening test results, polygraph examination results, and all other records that document the selection process.		2					CAUTION: Does not include criminal history checks. SEE item number 3.1.026.	29 CFR 1602.49(a) (State Universities).



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SFA3.1.18	3.1.018	Grievance Records	Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC	2			AC = Final decision on the grievance.		CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U.S. Department of Labor. SEE item number 1.1.048.	
SFA3.1.19	3.1.019	Performance Appraisals			2						29 CFR 1620.32(c).
SFA3.1.20	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 item number 3.1.021, all documentation from this series used to support disciplinary action must be retained for the minimum retention period described by item number 3.1.021	



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SFA3.1.21	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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SFA3.1.22	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 1602.49 (a) [State Universities].
SFA3.1. 23	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).
SFA3.1.24	3.1.024	Physical Examinations/ Medical Reports	Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.	AC	2			AC = Until superseded or termination of employment.		CAUTION: Does not include pre-employment physical examinations. SEE item number 3.1.014.	
SFA3.1.26	3.1.026	Criminal History Checks	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 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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					Years	Months	Days				
SFA3.1.27	3.1.027	Training and Educational Achievement Records (Individual)	Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC	5			AC = Termination of employment.			
SFA3.1.29	3.1.029	Employment Eligibility, Documentation or Verification of	Federal reporting form (INS I-9)	AC	1			AC = Termination of employment.		CAUTION: Federal regulation requires that INS I- 9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later. Agencies should make certain that the INS I- 9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period.	8 CFR 274a.2(b)(2)(i)(A) and (c)(2).
SFA3.1.31	3.1.031	Employee Benefits - Other than Insurance	Agency copies of information relating to the selection of available benefit options other than insurance.	AC	2			AC = Until superseded or termination of employment.		CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	



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SFA3.1.34	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 item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.	
SFA3.1.35a	3.1.035	Performance Bonds	Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency. Executed, renewed, or amended on or after September 1, 2015	AC	7			AC = Expiration or termination of the bond according to its terms.		CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028.	
SFA3.1.35b	3.1.035	Performance Bonds	Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency. Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the bond according to its terms.		CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028.	



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SFA3.1.36	3.1.036	Apprenticeship Records	Summary of applicant qualifications, evaluation basis for selection or rejection, original applications, job assignments, promotions, separations, layoffs, terminations, compensation records, conditions of work, time records, hours of training provided (separate from labor), minority status, and gender of all selected and rejected applicants.		5						29 CFR 30.8(e).
SFA3.1.37	3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc.	AC	5			AC = Termination of employment.			
SFA3.1.38	3.1.038	Public Access Option Form	Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code 552.024.	US						SEE item number 3.3.011.	



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SFA3.1.39	3.1.039	Ombudsman Records	Consultation records, notes, letters, memos, emails, reports and other documentation.	AC				AC = Final decision or matter closed		CAUTION: Does not include formal complaint filed with EEO. If matter becomes a grievance or the subject of counseling or litigation, or employee in subject to disciplinary action, the records are subject to retention in the appropriate records series. SEE 1.1.048, 3.1.006, 3.1.018, 3.1.020, and 3.1.021.	
SFA3.1	3.1	Employee Acknowledgement Forms	Acknowledgement forms or other documentation that shows proof of receipt and awareness of university, state, or federal policies and procedures.	AC	2			AC = Until superseded or termination of employment.			
SFA3.2.1	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 employee or after amendment, expiration, or termination of authorization, whichever sooner.			



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SFA3.2.2	3.2.002	Employee Earnings Records			4						40 TAC 815.106(i).
SFA3.2.3	3.2.003	Federal Tax Records	Includes 1099, W2, FICA, and other tax records.	AC	4			AC = Tax due date, date claim is filed, or date tax is paid whichever is later.			26 CFR 31.6001-1(e)(2).
SFA3.2.4	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).
SFA3.2.5	3.2.005	W-4 Forms	Employer's copy of "Employee's Withholding Exemption Certificate."	AC	4			AC = Until superseded, obsolete, or upon separation of employee.			26 CFR 31.6001-1(e)(2).
SFA3.2.6	3.2.006	Wage Rate Tables			2						29 CFR 516.6(a)(2).
SFA3.2.7	3.2.007	Unemployment Compensation Records		AC	5			AC = Termination of employment			
SFA3.2.8	3.2.008	Direct Deposit Application/ Authorization		US							



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SFA3.2.9	3.2.009	State Deferred Compensation Records		AC	5			AC = All accounts with a vendor or vendors for the individual participant have been closed.		For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the Benefits Coordinator Reference Manual issued by the Employees Retirement System of Texas.	
SFA3.2.10	3.2.010	Human Resources Information System (HRIS) Reports	Includes supporting documentation	AC	4			AC = date report verified			
SFA3.3.1	3.3.001	Affirmative Action Plans	Affirmative action plans for both regular employees and apprenticeship programs.		5						29 CFR 30.8(e) for apprenticeship plans
SFA3.3.4	3.3.004	Benefit Plans	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc, including amendments.	US	1						29 CFR 1627.3(b)(2).
SFA3.3.10	3.3.010	Labor Statistics Reports	Reports providing statistical information on labor force.		3						



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SFA3.3.11	3.3.011	Former Employee Verification Records	Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC	75			AC = Termination of employment		See item number 3.1.038	
SFA3.3.15	3.3.015	Positions/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3						
SFA3.3.20	3.3.020	Work Schedules/Assignments	Work, duty, shift, crew, or case schedule, rosters, or assignments.		1						
SFA3.3.22	3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the agency from TWC or its predecessor pertaining to employees.		3						
SFA3.3.23	3.3.023	Reimbursable Activities, Request and Authorizations to Engage in	Requests and authorizations for travel, participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employees are defrayed or reimbursed.	FE	3						



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SFA3.3.24	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						
SFA3.3.25	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						
SFA3.3.26	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, analysis of turnover rates and seasonality of employment, etc.	US	3						



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SFA3.3.27	3.3.027	Aptitude and Skills Tests	Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US	2					CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.	29 CFR 1602.49 [State Universities].
SFA3.3.28	3.3.028	Aptitude and Skills Tests (Test Papers)	Aptitude and skills test papers of job applicants or of current personnel taking a test to qualify for promotion or transfer.		2						29 CFR 1602.49
SFA3.3.29	3.3.029	Aptitude and Skills Tests (Validation Records)	Records of the validation of aptitude and skills tests.	AC	2			AC = As Long as the test is used by an agency.			29 CFR 1602.49
SFA3.3.30	3.3.030	Training Administration Records	Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern an agency's programs, services, or projects.	US	2					CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.	
SFA3.3.31	3.3.031	EEO Reports and Supporting Documentation	Includes documentation used to complete EEO reports.		3						29 CFR 1602.32, 1602.39, 1602.41, 1602.48, 1602.50.



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SFA3.3.32	3.3.032	Equal Pay Records	Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the federal Equal Pay Act.		3						29 CFR 1620.32.
SFA3.4.1	3.4.001	Accumulated Leave Adjustment Requests	Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances on August 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE	3						
SFA3.4.2	3.4.002	Leave Status Reports	Cumulative reports is issued each pay cycle and provides employee leave status information for each position.	FE	3						
SFA3.4.3	3.4.003	Less Than Full-Time Worked Reports	Dates and hours.		4						40 TAC 815.106(i).
SFA3.4.4	3.4.004	Overtime Authorizations			2						
SFA3.4.5	3.4.005	Overtime Schedules			2						



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Archival Codes (Field 10)

A/I – Transfer to 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				
SFA3.4.6	3.4.006	Time Cards and Time Sheets			4						40 TAC 815.106(i).
SFA3.4.7	3.4.007	Time Off and/or Sick Leave Requests		FE	3						
SFA3.4.8	3.4.008	Sick Leave Pool Documentation	Requests submitted, approvals, number of hours transferred in and out, etc.	FE	3						
SFA4.1.1	4.1.001	Accounts Payable Information		FE	3						
SFA4.1.2	4.1.002	Billing Detail		FE	3					CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.	
SFA4.1.3	4.1.003	Canceled Checks/Stubs/Warrants/Drafts		FE	3						
SFA4.1.4	4.1.004	Encumbrance Detail		FE	3						
SFA4.1.5	4.1.005	Inventory and Other Cost Files	Production, job, labor, quotes, pricing, specifications, etc.	FE	3						
SFA4.1.6	4.1.006	Investment Transaction Files		FE	3						
SFA4.1.7	4.1.007	Transfers or Budget Revisions	Transfers or adjustment to budgets.	FE	3						



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					Years	Months	Days				
SFA4.1.8	4.1.008	Electronic Fund Transfers	Direct Deposit Registers.	FE	3						
SFA4.2.1	4.2.001	Cash Deposit Vouchers	Cash Deposit slips	FE	3						
SFA4.2.2	4.2.002	Cash Receipts	Includes receipts for fees (permits, licenses, renewals, etc.)	FE	3						
SFA4.2.3	4.2.003	Daily Cash Receipts Logs		FE	3						
SFA4.2.4	4.2.004	Encumbrance Vouchers	Orders, statements, change orders, etc.	FE	3						
SFA4.2.5	4.2.005	Purchase Vouchers	Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	3						
SFA4.2.6	4.2.006	General Journal Vouchers		FE	3						
SFA4.2.7	4.2.007	Expenditure Vouchers	Travel, payroll, etc.	FE	3						
SFA4.3.1	4.3.001	Sales Journals or Registers		FE	3						
SFA4.3.2	4.3.002	Receipts Journals or Registers		FE	3						
SFA4.3.3	4.3.003	Expenditures Journals or Registers		FE	3						



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SFA4.4.1	4.4.001	General and Subsidiary Ledgers		FE	3						
SFA4.4.2	4.4.002	Accounts Receivable Ledgers		FE	3						
SFA4.4.3	4.4.003	Accounts Payable Ledgers		FE	3						
SFA4.4.4	4.4.004	Employee Savings Bond Ledgers		FE	3						
SFA4.5.1	4.5.001	Worksheets for Preparing Fiscal Reports		FE	3						
SFA4.5.2	4.5.002	Internal Fiscal Management Reports	Includes agency monthly budget reports.	FE	3						



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					Years	Months	Days				
SFA4.5.3	4.5.003	Annual Financial Reports	Required by the General Appropriations Act (100 Day Report).	AC	6			AC = September 1 of odd-numbered calendar years.	I	CAUTION: If an agency does not produce a biennial or annual narrative report as described in item number 1.1.066, then these annual financial reports must be marked with Archival Code I. 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 ETRC and the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
SFA4.5.5	4.5.005	External Fiscal Reports	Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE	3						
SFA4.5.6	4.5.006	Annual Operating Budgets	Required by the General Appropriations Act.	FE	3						



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SFA4.5.7	4.5.007	USAS Reports - Daily		AC				AC = Receipt and reconciliation of monthly report.			
SFA4.5.8	4.5.008	USAS Reports - Monthly		AC				AC = Receipt and reconciliation of annual report.			
SFA4.5.9	4.5.009	USAS Reports - Annual		FE	3						
SFA4.6.1	4.6.001	Balancing Records		FE	3						
SFA4.6.2	4.6.002	Reconciliations		FE	3						
SFA4.6.3	4.6.003	Cash Counts		FE	3						
SFA4.7.1	4.7.001	Accounting Policies and Procedures Manual		US	3						
SFA4.7.2	4.7.002	Bank Statements		FE	3						
SFA4.7.3	4.7.003	Returned Checks/Warrants/Drafts (Uncollectable)		AC	3			AC = After deemed uncollectible.			
SFA4.7.4	4.7.004	Capital Asset Records		LA	3						
SFA4.7.5	4.7.005	Claim Files		AC	3			AC = Resolution of claim.			
SFA4.7.6	4.7.006	Comptroller Statements		FE	3						
SFA4.7.7	4.7.007	Detail Chart of Accounts	One for all accounts in use for fiscal year.	FE	3						



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					Years	Months	Days				
SFA4.7.8	4.7.008	Grant Records	This series documents state and federal grant projects participated in or administered by state agencies. It includes grant authorization records, which provide evidence of the award of grants to or by agencies; grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by agencies.	AC	3			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific federal funding agency. Agencies must ensure that records are retained for the appropriate retention period.	
SFA4.7.9	4.7.009	Fixed Asset Sequential Number Logs		US	3						
SFA4.7.10	4.7.010	Long Term Liability Records	Bonds, etc.	AC	3			AC = Retirement of debt.			
SFA4.7.11	4.7.011	Texas Building and Procurement Commission Statements (TBPC)	Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	AC	3			AC = US+FE			



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					Years	Months	Days				
SFA4.7.12	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	3			AC = US + FE			
SFA5.1.1a	5.1.001	Contracts and Leases	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the instrument according to its terms.		SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.	



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					Years	Months	Days				
SFA5.1.1b	5.1.001	Contracts and Leases	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the instrument according to its terms.		SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.	
SFA5.1.3	5.1.003	Delivery Reports			2						
SFA5.1.4	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							
SFA5.1.5	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage.	FE	3						
SFA5.1.7	5.1.007	Requisitions for In-Agency/Inter-Agency Copy/Printing Service	Includes word processing and data processing.	AV							



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					Years	Months	Days				
SFA5.1.10	5.1.010	Licenses and Permits for Non-vehicles	Does not include licenses and permits issued by an agency as part of its statutory responsibilities.	AC	2			AC = expiration date of license or permit			
SFA5.1.11	5.1.011	Photocopier and Telefax Usage Logs & Reports		AV							
SFA5.1.12	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 determine the charges.	US	3						
SFA5.1.13a	5.1.013	Insurance Policies	For vehicles, equipment, etc. Contracts executed, renewed, or amended on or after September 1, 2015	AC	7			AC = Expiration or termination of the policy according to its terms.			
SFA5.1.13b	5.1.013	Insurance Policies	For vehicles, equipment, etc. Contracts executed, renewed, or amended on or before August 31, 2015	AC	4			AC = Expiration or termination of the policy according to its terms.			



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					Years	Months	Days				
SFA5.1.14	5.1.014	Office Procedures	Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency; for example, agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US	1						
SFA5.1.15	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 or by private couriers.		1						
SFA5.1.17	5.1.017	Contract Log	List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE	3						
SFA5.2.1	5.2.001	Appraisals-Building or Property		AV					O		
SFA5.2.1aa		Deeds and Easements		LA					O		
SFA5.2.2	5.2.002	Building Construction Project Files	Planning, design and construction records; accepted and rejected bids; correspondence; etc.	AC	10			AC=Completion of project.	O	SEE ALSO item numbers 5.2.003 and 5.2.028	



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					Years	Months	Days				
SFA5.2.3a	5.2.003	Building Plans and Specifications - State Owned	Includes architectural and engineering drawings, profiles, and blueprints	LA					O	SEE ALSO item numbers 5.2.002 and 5.2.028 Archival Note: Archival review designation is for state owned buildings only	
SFA5.2.3b	5.2.003	Building Plans and Specifications - Leased	Includes architectural and engineering drawings, profiles, and blueprints	AC	2			AC=For leased buildings; termination or cancellation of lease.		SEE ALSO item numbers 5.2.002 and 5.2.028 Archival Note: Archival review designation is for state owned buildings only	
SFA5.2.4	5.2.004	Building Space Requests			1						
SFA5.2.5	5.2.005	Calibration Records (Equipment or Instrument)			10						
SFA5.2.6	5.2.006	Property Destruction, Certificates of		FE	3						
SFA5.2.7	5.2.007	Damage Reports	Reports of damage to state property	FE	3						
SFA5.2.8	5.2.008	Equipment History File; Equipment Service Agreements	Agreements or contracts between the agency and equipment vendor to provide maintenance service for equipment. Includes requests for installation, moves, service, etc; and service/repair logbooks, etc.	LA	3						



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SFA5.2.9	5.2.009	Equipment Inventory Detail Report Forms	Updates agency portion of the inventory listing and adds, changes, transfers or deletes items from inventory	FE	3						
SFA5.2.10	5.2.010	Equipment Manuals		LA							
SFA5.2.11	5.2.011	Equipment Warranties		AC	1			AC = Expiration of warranty			
SFA5.2.12	5.2.012	Estimate Files (Supply and Repair Cost Estimates)			1						
SFA5.2.14	5.2.014	Inventory-Annual Physical	Property, equipment, supply verification	FE	3						
SFA5.2.15	5.2.015	Inventory, Notices of Equipment Removed From		FE	3						
SFA5.2.16	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			
SFA5.2.17	5.2.017	Lost & Stolen Property Reports		FE	3						
SFA5.2.18	5.2.018	Quality Control Reports			2						



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SFA5.2.19	5.2.019	Service Orders	Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts and remarks		1						
SFA5.2.20	5.2.020	Supply Usage Records		FE	1						
SFA5.2.21	5.2.021	Surplus Property Sale Reports		FE	3						
SFA5.2.22	5.2.022	Utility Usage Reports		AV							
SFA5.2.23	5.2.023	Year-to-Date Activity (Inventory Listing)	Shows additions, changes, transfers and deletions of information within the inventory system. Data include agency, division, tag number, batch, document, transaction date, location, item code, description, date and cost.	FE	3						
SFA5.2.24	5.2.024	Material Specifications		AC	2			AC = Material is no longer in the agency			
SFA5.2.25	5.2.025	Equipment Descriptions and Specifications		AC	2			AC = Equipment is no longer in the agency			



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SFA5.2.26	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						
SFA5.2.27	5.2.027	Space Utilization Reports		AV							
SFA5.2.28	5.2.028	Building Construction Contract and Inspection Records	Building construction contracts, surety bonds and inspection records	LA	10				O	SEE ALSO item number 5.2.002 and 5.2.003	
SFA5.3.2	5.3.002	Freight Bills Paid		FE	3						
SFA5.3.3	5.3.003	Freight Claims		AC	2			AC=Resolution of claim			
SFA5.3.4	5.3.004	Order-Acknowledgments		AV							
SFA5.3.5	5.3.005	Packing Slips		AV							
SFA5.3.7a	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations associated with a contract executed, renewed, or amended on our 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.		CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001 and 5.2.028	



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SFA5.3.7b	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations associated with a contract executed, renewed, or amended on or before August 31, 2015.	FE	3					CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001 and 5.2.028	
SFA5.3.7c	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations: Unsuccessful bids that do not meet agency submission requirements and are not included in bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.).	AC	2			AC=Date of notification of denial or date of withdrawal, as applicable.		CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001 and 5.2.028	



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					Years	Months	Days				
SFA5.3.8	5.3.008	Purchasing Logs	Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE	3						
SFA5.3.9	5.3.009	Requests for Information	Requests for information preliminary to the procurement of goods or services by direct purchase or bid	AC				AC= date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.			
SFA5.4.1	5.4.001	Accident Reports and Associated documentation	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally on accident frequency.	CE	5					Texas Department of Insurance retains copies of the reports submitted to it for 50 years.	29 CFR 1904.33
SFA5.4.2	5.4.002	Evacuation Plans		US							
SFA5.4.3	5.4.003	Inspection Records	Fire, safety and other inspection records of agency facilities and equipment.	AC	3			AC=inspection or date of the correction of the deficiency if the inspection report reveals a deficiency.			



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					Years	Months	Days				
SFA5.4.4	5.4.004	Fire Orders	Orders issued by fire marshal to correct deficiencies in compliance with the fire code.	AC	3			AC=Deficiency corrected			
SFA5.4.7	5.4.007	Hazardous Materials Training Records	Records of training given employees in an agency hazard communications program		5						Texas Health and Safety Code, 502.009(g)
SFA5.4.8	5.4.008	Hazard Communication Plans		US	5						Texas Health and Safety Code, 502.009(g)
SFA5.4.9	5.4.009	Workplace Chemical Lists			30						Texas Health and Safety Code, 502.005(d)
SFA5.4.9aa		Pesticide Application Records			3						
SFA5.4.9bb		Laboratory Logs	Logs or registers or toxicological, histological or other laboratory tests and procedures performed.		2						
SFA5.4.10	5.4.010	Material Safety Data Sheets		AC				AC=After sheets are updated or hazardous chemical no longer stored by agency, as applicable.			



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					Years	Months	Days				
SFA5.4.11	5.4.011	Visitor Control Registers	Logs, registers or similar records documenting visitors to limited access or restricted areas of agency facilities.		3						
SFA5.4.12	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 facilities, equipment or automated systems.	AC	2			AC=Until superseded, date of expiration, or date of termination, whichever sooner.			
SFA5.4.13	5.4.013	Disaster Preparedness and Recovery Plans		US							
SFA5.5.1	5.5.001	Billing Detail-Telecommunications (Other than TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long distance calls	FE	3					SEE item number 5.5.006 for TEX-AN billing detail	
SFA5.5.2	5.5.002	Long Distance Telephone Logs		AV							
SFA5.5.3	5.5.003	Station Activity Reports	Internal listing of all incoming/outgoing agency telephone activity	AV							
SFA5.5.4	5.5.004	System Activity Reports	Internal listing of all incoming/outgoing agency telephone activity.	AV							



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SFA5.5.6	5.5.006	Billing Detail-Telecommunications (TEXAN)		FE	3					The billing agency will maintain all long distance TEX-AN records and will provide each using agency its bill summary of centralized capitol complex telephone service without call detail records. For these bill summaries, SEE item number 4.7.011. SEE item number 5.5.001 for billing detail from carriers other than TEX-AN	
SFA5.5.7	5.5.007	Disputed Call Documentation	Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use	FE	3						
SFA5.6.3	5.6.003	Inspection Repair and Maintenance Records-Vehicles		LA	1						
SFA5.6.4	5.6.004	License and Driving Record Checks		AC				AC=Until superseded or until termination of employment			



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SFA5.6.5	5.6.005	Vehicle Use Reports	Includes mileage, fuel/oil consumption, passengers carried and other related operational information	FE	3						
SFA5.6.7	5.6.007	Vehicle Titles & Registrations		LA							
SFA100.1.1		Applications/ Admissions-Students-Enrolled	Applications for admission or readmission; letters or forms evidencing grant or denial of admission, petitions for special admission or readmission; entrance examination reports (ACT, SAT, TOEFL, etc.); TASP score reports or exemptions forms; local assessment test reports; residency status forms and oaths; Immigration and naturalization Service forms; health and immunization reports; GED attainment documentation; and high school or prior college transcripts, transcript waivers or statement of good standing.	AC	5			AC= Graduation or date of last attendance.		BUCKLEY Amendment, Confidential Record	



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SFA100.1.2		Applications/ Admissions-Students- Not Enrolled		AC	1			AC= end of application term		BUCKLEY Amendment, Confidential Record. Set by American Association of Collegiate Registrars and Admissions Officers (AACRAO) guidelines.	
SFA100.2.1		Academic Grievance Records	Records concerning the review of complaints and grievances against faculty members or university staff	AC	2			AC=Closure of review of complaint.		SEE ALSO Record Item Number 3.1.019	
SFA100.2.2		Academic Progress Records-Students		AC	5			AC= Graduation or date of last attendance.		BUCKLEY Amendment, Confidential Record	
SFA100.2.3		Academic Status Report-Students		PM						BUCKLEY Amendment, Confidential Record	



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SFA100.2.4		Advanced Placement and Credit Records- Students-Awarded	Transfer credit evaluations, national or state standardized test scores and reports (e.g. CLEP, AP, CPS), credit by examination authorizations and reports, military course documentation (e.g. DANTEs, USAFI) and evaluations, non-traditional transcripts and credentials, life experience records, requests for advanced credit and similar documentation used to evaluate and determine award of credit by advanced placement.	AC	3			AC= Graduation or date of last attendance.			



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SFA100.2.5		Advanced Placement and Credit Records- Students- Not Awarded	Transfer credit evaluations, national or state standardized test scores and reports (e.g. CLEP, AP, CPS), credit by examination authorizations and reports, military course documentation (e.g. DANTEs, USAFI) and evaluations, non-traditional transcripts and credentials, life experience records, requests for advanced credit and similar documentation used to evaluate and determine award of credit by advanced placement.	AC	1			AC = end of academic year in which decision made.			
SFA100.2.6		Advisement- Students		AC	3			AC= Graduation or date of last attendance.			
SFA100.2.7		Athletic Eligibility Records- Student			6					BUCKLEY Amendment, Confidential Record. All audit requirements will be met prior to disposal.	



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SFA100.2.8		Athletic File- Students	Records document verification by intercollegiate athletics of student athletes' academic progress to the NCAA. These records include computer generated academic progress reports.	FE	5						
SFA100.2.9		Attendance Records- Students			5					BUCKLEY Amendment, Confidential Record.	
SFA100.2.10		Class Schedules, Department			5						
SFA100.2.11		Comprehensive Exams- Students			5						
SFA100.2.12		Course Equivalencies		US	1						



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SFA100.2.13		Course Registration and Status Records - Students	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).	AC	1			AC=End of academic term			
SFA100.2.14		Course Schedules	Schedule of classes available each semester.	US					O		
SFA100.2.15		Curriculum Development Files	Reports, studies, and similar records documenting the development of new courses and programs or review of a current program.	FE	5				O		



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					Years	Months	Days				
SFA100.2.16		Degree Application-Student	Application for graduation.	AC	5			AC= Graduation or withdrawal		BUCKLEY Amendment, Confidential Record. Retention period based on AACRAO guidelines for Academic Records.	
SFA100.2.17		Degree Plans-Student			6					BUCKLEY Amendment, Confidential Record. For Final Degree Plans see Agency Item number SFA.100.2.20	
SFA100.2.18		Enrollment Statistics-Students	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.	FE	3				O		
SFA100.2.19		Enrollment Verification-Students		AC	1			AC= Graduation or date of last attendance.		BUCKLEY Amendment, Confidential Record.	
SFA100.2.20		Final Graduation/Degree Plans		AC	6			AC=Date of final plan.			



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SFA100.2.21		Grade Change Forms	Change to a student grade signed by the professor, department chair and dean.	PM						BUCKLEY Amendment, Confidential Record. Retention based on AACRAO guidelines for Change of Grade Forms.	
SFA100.2.22		Grade Sheets- Faculty Grade books/worksheets		1	1					BUCKLEY Amendment, Confidential Record. Retention period based on AACRAO guidelines for Academic Records.	
SFA100.2.23		Grade Sheets	Grade sheets submitted by instructors used to post grades or credit data to transcripts	AC	5			AC=End of academic year		BUCKLEY Amendment, Confidential Record. Retention period based on AACRAO guidelines for Academic Records.	
SFA100.2.24		Grade Sheets- University	List of students in a class and the grade they received in the class. (Registrar Office Copy)	PM					I	BUCKLEY Amendment, Confidential Record.	
SFA100.2.25		Graduation Status & Ranking		PM						BUCKLEY Amendment, Confidential Record. Retention period based on AACRAO guidelines.	
SFA100.2.26		ID Card Requests- Students		AC	1			AC= Date of request		BUCKLEY Amendment, Confidential Record.	



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SFA100.2.27		Permits for Admission to Register	Permission form given to a student to register for a class that is either closed or permit only.	AV						BUCKLEY Amendment, Confidential Record.	
SFA100.2.28		Recognitions/Awards-Students		AC	3			AC= Graduation or date of last attendance	O		
SFA100.2.29		Recruitment Records-Students	Advertisement tearsheets, direct mail pieces, promotional literature, and similar material used to recruit students, including any training materials or manuals used to instruct recruitment representatives		3					Retention Note: Publications such as college catalogs, course schedules, descriptive brochures or viewbooks, posters, and videotapes serve a direct or indirect promotional or recruitment function. One copy of each must be retained permanently see SFA1.3.1.	38 CFR 21.4909(f)
SFA100.2.30		Students- Name Change Requests		AC	5			AC= Date of request.		BUCKLEY Amendment Confidential Record	
SFA100.2.31		Students- 4th & 12th Class Day Reports			5					BUCKLEY Amendment, Confidential Record. All audit requirements will be met prior to disposal.	
SFA100.2.32		Student Organization Records	Membership Rosters, records of how funds are extended, etc.	FE	3				O		



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SFA100.2.33		Students Statistical Reports	Annual statistical reports of enrollment, grades, graduates, racial/ethnic composition, student-pupil ratios, and other education related matters submitted to the governing body, state or federal agencies or accrediting organizations.	PM					I		
SFA100.2.34		Student Teaching Records		AC	3			AC= Completion of student teaching.			
SFA100.2.35		Students- Tests, Academic	Tests that were taken while enrolled in a class.	AC	1			AC= End of semester in which the test was taken.		BUCKLEY Amendment, Confidential Record.	
SFA100.2.36		Students- Test Materials (External)	TASP, ACT	CE	1						
SFA100.2.37		Textbooks Adoption Records			3						
SFA100.2.38		Transcript Requests		AC	1			AC= Date Submitted		BUCKLEY Amendment, Confidential Record.	



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SFA100.2.39		Transcripts-Students	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.	PM						BUCKLEY Amendment, Confidential Record. Retention period based on AACRAO guidelines for Academic Records.	
SFA100.2.40		Withdrawal/Reinstatement- Students		AC	5			AC=Date of withdrawal or reinstatement		BUCKLEY Amendment, Confidential Record.	
SFA100.3.1		Apprenticeship Records: Practicum, Internship-Students			5						34 CFR 676.19(c)
SFA100.3.2		Employment-Student	Includes Work-Study Records	FE	5					Retention period based on federal requirement for Pell Grant and other campus based program. All audit requirements will be met prior to disposal.	
SFA100.3.3		Financial Aid, Promissory Notes		AC	3			AC= Debt retired.			
SFA100.3.4		Financial Aid Records - Students		AC	6			AC= Graduation or last date of attendance.		BUCKLEY Amendment, Confidential Record.	34 CFR 676.19(c)



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SFA100.3.5		Financial Aid- Refunds and Repayments		FE	5					All audit requirements will be met prior to disposal. Pell Grant Federal regulations and other campus based programs	
SFA100.3.6		Graduate Assistant & Teaching Assistant	Contract letter and acceptance form	AC	4			AC = Expiration or termination of the contract according to its terms per RSIN 3.1.013.			
SFA100.3.7		Loan Journals or Registers-Students		AC	5			AC= Graduation or last date of attendance		All audit requirements will be met prior to disposal.	
SFA100.3.8		Scholarships Records-Awarded, SFASU		AC	5			AC= Graduation or last date of attendance.	O	Per 34 CFR 668.24€ All audit requirements will be met prior to disposal.	
SFA100.3.8a		Scholarship Records - Not Awarded, SFASU		AC	5			AC = Graduation or last date of attendance.		All audit requirements will be met prior to disposal.	
SFA100.3.9		Scholarship Records-Awarded, Non- SFASU		AC	3			AC= Graduation or last date of attendance.		BUCKLEY Amendment, Confidential Record.	
SFA100.3.10		Veteran Affairs Records-Students		AC	5			AC=Graduation or date of last attendance		BUCKLEY Amendment, Confidential Record.	
SFA100.3.11		Scholarship Records-Not Awarded		AC	5			AC = Date of award		BUCKLEY Amendment, Confidential Record	



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SFA100.4.1		Access to Information, Records of-Students	Record of each request for access to and each disclosure of personally identifiable information from the educational records of a student. Documentation of requests from and disclosures to the student, to a University official for what the University has determined are legitimate educational interests, to a party with written consent from the student, or to a party seeking directory information		2						
SFA100.4.2		Access to Information - Students	Documentation of requests from and disclosures to any party not included in Agency Item Number SFA.100.4.1	PM							
SFA100.4.3		Access to Information, Consent-Students	Written consents from the student for information disclosure.	PM							
SFA100.4.4		Access to Information, Refusal-Students	Written refusals from the student to the disclosure of directory information.	AC				AC=Graduation or date of last attendance			
SFA100.5.1		Accreditation Records--State		PM					O		



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SFA100.5.2		Accreditation Records		FE	10				O	Records kept according to accrediting organizations' requirements.	
SFA100.5.3		Accreditation Planning Records	Preliminary self studies; planning documents used to establish goals and indicators; achievement reports; documentation evidencing community, staff, and student involvement in the establishment of performance objectives; and similar records created in districts to plan for and monitor progress during interims between visits from accrediting agencies.	AC				AC=After subsequent accreditation, then as long as administratively valuable	O	(Review before disposal; some records of this type may merit permanent retention for historical reasons.)	
SFA100.6.1		Career Services Credential Files- Students			5					BUCKLEY Amendment, Confidential Record.	
SFA100.6.2		Client/Patient Medical File/Records		AC	10			AC=last date of service			
SFA100.6.3		Consent/Release Forms		AC				AC=date of graduation or termination of employment		All audit requirements will be met prior to disposal.	



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SFA100.6.4		Counseling Files	This series documents all clients (including SFA students and employees and outside clients) who are provided counseling, psychological, and psychiatric services. Records may include: test data; extensive notes made by providers concerning the assessment, diagnosis, treatment and contacts (written, telephone, or in person) with each client; referral letters; release of information agreements; letters to agencies or others concerning the clients; and related documentation.	AC	10			AC = No client contact for three (3) months or formal termination.		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 longer. Meets the Requirements of the Texas State Board of Examiners of Psychologists Rules And Regulations. 22 Tex. Admin. Code Part 21, Section 465.22d. NOTE: Shadow files (copies) of patient records must be retained only for the duration necessary to assist the health care professional in tracking and providing care to the patient and should not be held any longer than the original record.	



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SFA100.6.5		Disability Services Client Files—Accepted & Traditional			7						
SFA100.6.6		Disability Services Client Files—Not accepted		AC	2			AC=After committee decision			
SFA100.6.7		Disability Services Semester Plan for Services			1						
SFA100.6.8		Disciplinary Records-Academic-Students		AC	5			AC= Graduation or date of last attendance.		BUCKLEY Amendment, Confidential Record.	
SFA100.6.9		Disciplinary Records-Expulsion- Students	Documentation relating to violations and alleged violations of campus rules, codes of conduct or other institution policies by students.	PM						BUCKLEY Amendment, Confidential Record. This record group does not include records relating to academic probation, suspension, or other action arising from a student’s academic performance.	



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SFA100.6.10		Disciplinary Records-Non Expulsion- Students	Documentation relating to violations and alleged violations of campus rules, codes of conduct or other institution policies by students. Records relating to all other disciplinary action and those concerning investigations that do not result in disciplinary action.	AC	2			AC=end of the academic term in which the records relate		BUCKLEY Amendment, Confidential Record. This record group does not include records relating to academic probation, suspension, or other action arising from a student's academic performance.	
SFA100.6.11		Faculty Activity and Assignment Records	Reports and similar records documenting teaching, student advisory, committee, administrative and committee assignments of faculty members		3						
SFA100.6.12	3.4.007	Faculty Development Leave Records	Applications for faculty development leaves of absence, evaluations of and recommendations on leave requests, and associated records documenting a faculty development leave program.	FE	3						
SFA100.6.13		Family Medical Leave Requests		AC	5			AC= Termination of employment			
SFA100.6.14		Grants- Applications and Proposals - Funded		AC	4			AC= Grant period ends.	O		



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SFA100.6.15		Grants- Applications and Proposals -Not funded			3						By regulation 29 CFR 1602.49
SFA100.6.16 a		Liability Release Forms/Records - Participant over 18 years of age.		AC	4			AC=End of activity, event, or program for which the waiver or release is issued.		Opinion, SFASU- General Counsel	
SFA100.6.16 b		Liability Release Forms/Records - Participant under 18 years of age.		AC	20	3		AC=End of activity, event, or program for which the waiver or release is issued.		Opinion, SFASU- General Counsel	
SFA100.6.17	3.1.037	Promotion and Tenure Records	Evaluations, recommendations and similar documentation relating to the review process for promotion or tenure for all faculty or staff in tenure track positions.	AC	2			AC= Termination of employment.			29CFR1602.49(a)
SFA100.6.18		Research Applications		AC	3			AC= On rejection of application or if accepted until research is completed.	O		
SFA100.6.19		Student Notification	Notifications sent to faculty about a student's absence, death, temporary disability, etc.	FE	3						



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SFA100.6.20		Faculty Search Committee Records		AC	3			AC=end of search			
SFA100.7.1		Parking Decal and Permit Records	Applications for parking decals, permits or parking lot security entry cards submitted by faculty, staff and students, and related records of issuance.	AC	3			AC=Termination of employment or FE.			
SFA100.7.2		Police - Criminal 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; arrest 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	PM							
SFA100.7.3		Police- Daily Report			1						



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SFA100.7.4		Police- Incident Reports	Reports concerning incidents or complaints that, after investigation, did not appear to have involved the commission of a crime.		2				O		
SFA100.7.5		Police- Tickets	Tickets that go to the Justice of the Peace		5						
SFA100.7.6		Police- Traffic Tickets	University parking and citation tickets	AC		6		AC=After ticket is paid			
SFA100.7.7		Security/Surveillance Video					30			If not required to support known investigation or litigation, reuse or destroy after 30 days. If an incident has occurred, then the retention period is 30 days after the incident has been resolved (or a verdict has been rendered).	34 CFR 676.19(c)
SFA100.8.1		Housing-Disciplinary Records			7						
SFA100.8.2		Housing-Residence Life Surveys			2						



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SFA100.8.3		Housing Records		AC	5			AC=Debt settled	O	Per 34 CFR 668.24€ Retention based upon federal requirements for Pell Grant and other Campus based programs. All audit requirements will be met prior to disposal.	
SFA100.8.4		Residency Questionnaire-Students			5					BUCKLEY Amendment, Confidential Record.	
SFA100.9.2		Audio Visual (AV) Storage List		US							
SFA100.9.3		AV/ Software List		US							
SFA100.9.4		Copyright Information		US							
SFA100.9.5		Copyright Records		AV							
SFA100.9.6		Endowment and Gift Income Records		PM					O		
SFA100.9.7		Library- Circulation Records		US							



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SFA100.9.8		Library- Inter Library Loan (ILL) Borrow Requests		AC	4			AC= ILL transaction completed			
SFA100.9.9		Library- ILL Lending Requests		AC	1			AC= ILL transaction completed			
SFA100.9.10		Library - ILL Search Requests		AC				AC=ILL transaction completed			
SFA100.9.11		Library - Statistical Compilations	Surveys, questionnaires and similar documents used to prepare statistical reports.	AV							
SFA100.9.12		Tape, Audio- Music Performance Recordings		AV					O		
SFA100.9.13		Tape, Video- Broadcasts & teleconferencing		AV					O		
SFA100.9.14		Tape, Video- Presentation, Recruitment, etc.		AV					O	Note: As part of employment selection process see SFA3.1.14. As part of employee training see SFA1.1.43	
SFA100.9.15		Tape, Video- Teleconferencing Files		AV					O		



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SFA100.9.16		Non-Professional Membership Forms	Short term forms that are used to verify admittance to a club or organization with membership renewed on a yearly basis.	AV							
SFA100.9.17		Social Networking Communications	Consists of content (messages, posts, photographs, videos, etc.) created, submitted, or received using social media application that is strictly a duplicate, transitory in nature, or a record copy of the information exists elsewhere. Includes blogs, wikis, Twitter, Facebook, YouTube, Flickr, and other similar applications.		2					Caution: content on a social media application that meets the TGC § 441.180 (11) definition of a State record and is not a duplicate record, transitory or retained elsewhere must be captured by a responsible party and maintained for the full retention period of the appropriate record series. Caution: The State has no control over retention policies of social media sites. State records must be captured and maintained.	
SFA200.1.1		Academic Records	Cumulative record of achievement in grades Pre-K through 8	AC	5			AC=Date of withdrawal			



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SFA200.1.2		Birth Date Documentation	Copies of birth certificates, church records, bible records, passport or immigration records, or other documents used to establish a date of birth	AV							
SFA200.1.3		Custody Documents	Copies of court instruments relating to adoption, guardianship, or custody.	AC				AC= Until the student is 18		Retention Note: It is an exception to the retention period given that a court order superseded by a subsequent order (e.g., a change in guardianship) need be retained only as long as administratively valuable and is exempt from the destruction notice requirement.	
SFA200.1.3a		Protective Orders		AC				AC=Until order expires			
SFA200.1.4		Enrollment or Registration Forms		AC	7			AC=Date of withdrawal			
SFA200.1.5		Home Language Surveys.		AC	7			AC=Date of withdrawal			



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SFA200.1.6		Parental Permission Records	Parental consents for a student to engage in school activities or programs, except consents noted elsewhere in this schedule.	AC	2			AC= Until cessation of activity for which consent granted		Retention Note: If a student is involved in an accident while engaged in an activity for which parental consent was granted, the consent form or statement must be retained for the same period as Accident Reports (see item number SFA200.5.1).	
SFA200.1.7		Student Withdrawal/Record Transfer Form	(TEA form PEIMS-100)	AV							
SFA200.1.8a		Test and Academic Measurement Reports	Reports of results of TAAS, TEAMS, TABS, STAAR and other standardized state and national achievement, mental abilities, and aptitude tests reported by score, percentile rank, etc.	AC	1			AC= recording of data in the academic achievement or cumulative record			
SFA200.1.8b		Test and Academic Measurement Reports	Reports of results of other tests or measurements (e.g., reading/mathematics profiles).	AC	7			AC=Date of withdrawal			
SFA200.1.8c		Test and Academic Measurement Reports	District summaries on a group basis of the results of standardized testing.		3						[By regulation - 34 CFR 99.32(a)(2).]



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SFA200.2.1		Access Policies	Written policies and procedures demonstrating how a district meets the requirements of the Family Educational Rights and Privacy Act of 1974, as amended and federal rules adopted under the act.	US							
SFA200.2.2a		Access to Information, Records of	Documentation of requests from and disclosures to the parent or eligible student, to an official of the district for what the district has determined are legitimate educational interests, to a party with written consent from the parent or eligible student, or to a party seeking directory information.		2						
SFA200.2.2b		Access to Information, Records of	Documentation of requests from and disclosures to any party not included in (SFA200.2.2a).	PM							By regulation - 34 CFR 99.21(c)(1).]
SFA200.2.2c		Access to Information, Records of	Written consents from the parent for information disclosure.	AC				AC= Until the student is 18.			
SFA200.2.2d		Access to Information, Records of	Written refusals from the parent or eligible student to the disclosure of directory information.	AC				AC=Date of withdrawal			



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SFA200.2.3		Protest of Record Statements	Statements by parents or eligible students commenting on contested information in a student record, or stating why they disagree with a district's decision not to amend a record, or both.	AC				AC = For as long as the record containing the contested information is maintained, then as long as administratively valuable.			
SFA200.2.4		Record Amendment Requests and Related Documentation	Requests from parents or eligible students to amend student records, notices by the district of denial or consent to amendments, requests for hearings on denied requests, hearing notices, and written decisions by hearing examiners.		2						
SFA200.3.1		Enrollment Lists and Rosters, Special Education			7						



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SFA200.3.2		Student Records, Special Education Program	Records of each student referred to or receiving special education services, including referral, assessment, and reevaluation reports; enrollment & eligibility forms; admission, review and dismissal (ARD) and transitional planning committee documentation; individual educational (IEP) and transitional (ITP) plans; parent consent forms for testing and placement; and other records of services required under federal and state regulation.	AC	7			AC=Cessation of services			



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SFA200.3.3		Student Records, Bilingual and Special Language Program	Records of each student referred to or receiving bilingual or special language services, including recommendations from parents or teachers for bilingual instruction, student interview documentation, notifications to parents, parental consents or denials, language proficiency assessment committee (LPAC) reports, exit reports, follow-up study reports, and other records of services required by state regulation or pertinent to the identification of students for bilingual education or special language programs.	AC	7			AC=Cessation of services			



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SFA200.3.4		Student Records, 504 Program	Records of each student referred to or receiving services under Section 504, including referral, preplacement, and reevaluation reports, parental notices; group and impartial hearing deliberations; and other records of services required under Section 504 regulations	AC	7			AC=Cessation of services			
SFA200.3.5		Enrollment Lists and Rosters, Dyslexia Program		AC	5			AC=Cessation of services			
SFA200.3.6		Student Records, Dyslexia Program	Records of each student referred to or receiving dyslexia program services, including referral and assessment reports; group deliberations; parental notices; and other records of services required under state regulation.	AC	5			AC=Cessation of services			
SFA200.3.7		Daily Migrant Student Record Transfer System (MSRTS) Logs			7						
SFA200.3.8		MSRTS Enrollment & Withdrawal Reports			7						



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SFA200.3.9		MSRTS Monitoring Documentation	Summaries of eligibility verifications and validations, parent/guardian questionnaires, copies of validated certificates of eligibility, and copies of any correspondence from a school district to a regional educational service center requesting deletion of ineligible children from the MSRTS.		7						
SFA200.3.10		MSRTS Recruiting Records	Recruiter logs, questionnaires, and similar records documenting efforts of recruiters to identify and enroll currently and formerly migrant students.		7						
SFA200.3.11		MSRTS Student Records	Certificates of eligibility	AC	7			AC=End of eligibility			
SFA200.3.12		MSRTS Student Records	Copies of most current educational and health records or forms providing educational and health updates information from which is transmittable to regional educational service centers for data entry	US							
SFA200.3.13		MSRTS Student Records	Data verification reports from the MSRTS center in Little Rock	AV							



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SFA200.3.14		McKinney Homeless Assistance Act Student Records			7						
SFA200.4.1		Attendance Control Documentation	Correspondence to and from parents or guardians concerning absences and tardiness	AV							
SFA200.4.2		Attendance Control Documentation	Correspondence with law enforcement or other agencies concerning violations of the compulsory school attendance law, including all associated documentation		2						
SFA200.4.3		Attendance officer’s logs and reports of parents or guardians visited			2						
SFA200.4.4		Attendance Reports	Copies of attendance and enrollment reports submitted to the TEA, including those term and period reports submitted to the superintendent by principals for the purposes of compiling state-mandated reports		5						



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SFA200.4.5		Attendance Reports, Daily Registers	Daily registers of pupil attendance and similar daily or periodic reports used to document the attendance and absence of students		5						
SFA200.4.6		Transfer, Applications for and Associated Reports	Documentation concerning the transfer and enrollment of students in districts other than those in which they are resident		7						
SFA200.5.1		Accident Reports	Reports of accidents to students	AC	2			AC=date student turns 18			
SFA200.5.2		Correspondence with Parents or Guardians	Correspondence to and from parents or guardians concerning student health matters.		2						
SFA200.5.3		Cumulative Health Card or Record.		AC	2			AC=date of withdrawal			
SFA200.5.4		Emergency Cards	Card or other form of record providing information on whom to contact in case of accident or illness to a student.	AC				AC=Date of withdrawal or US			



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SFA200.5.5		Exclusion Documentation, Medical Contraindications	Affidavits or similar documents seeking the exclusion of students from participation in immunization or other health care programs for medical reasons, or verifications of previous illness or health testing.	AC	2			AC=date of withdrawal			
SFA200.5.6		Exclusion documentation, Religious Conflicts	Affidavits or similar documents seeking the exclusion of students from participation in immunization or other health care programs for religious reasons, or verifications of previous illness or health testing.	AC	2			AC=date of withdrawal			
SFA200.5.7		Verifications of mumps or measles illness		AC	2			AC=date of withdrawal			
SFA200.5.8		Verifications from physicians or health agencies of prior testing of sight, hearing and spinal curvature		AC	2			AC=date of withdrawal			



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SFA200.5.9		Health Screening Documentation	Worksheets, checklists, examination forms, and similar documents used in student health screening.	AC				AC = After entry of information on Cumulative Health Record (SFA200.5.3), then as long as administratively valuable.			
SFA200.5.10		Health Screening Documentation	Vision, hearing, and spinal screening reports submitted to the Texas Department of State Health Services.		3						
SFA200.5.11		Immunization Records		AC	2			AC=date of withdrawal			
SFA200.5.12		Physician Referrals and Reports	Copies of referrals to physicians, including any attached screening worksheets, and reports from physicians on referred health matters.	AC				AC = After entry of information on Cumulative Health Record (SFA200.5.3), then as long as administratively valuable.			



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SFA200.5.13		Reports to Enforcement Agencies	Copies of reports on child abuse or neglect, communicable disease, dog bites, drug offenses, missing children, or sexually transmitted disease submitted to the Texas Department of State Health Services, the Texas Health and Human Services Commission, or local law enforcement and animal control agencies		2						
SFA200.5.14		Special Health Care Records	Logs or reports of medications or treatment administered to students on a group or individual basis		3						
SFA200.5.15		Special Health Care Records	Parent's requests and physician's authorizations for specialized health care.	AC	2			AC= End of validity of request or authorization			
SFA200.6.1		Curriculum Guides		US							



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SFA200.7.1		Discipline Records, Expulsion	Records relating to the discipline, corporal punishment, suspension, and expulsion of students maintained by superintendents, principals, and counselors, including parental conference reports and correspondence with parents.		3						
SFA200.7.2		Discipline Records, Non-expulsion	Records relating to forms of discipline other than expulsion.	AV							
SFA200.7.3		Student Guidance and Counseling Files	Individual student counseling files maintained by school counselors, including parental conference reports.	AV							
SFA200.8.1		Accreditation Reports, TEA	Reports to the Texas Education Agency on accreditation planning or the self-monitoring of progress toward the achievement of goals.	AC				AC = After subsequent accreditation.			
SFA200.8.2		Accreditation Reports, Investigative	Accreditation investigative reports from the Texas Education Agency to the board of trustees of a school district.	PM							



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SFA200.8.3		Planning Records	Self studies; planning documents used to establish goals and indicators; achievement reports; documents evidencing parent, community, and staff involvement in the establishment of performance objectives; and similar records created in school districts to plan for and monitor progress during interims between accreditation visits.	AC				AC=After subsequent accreditation			
SFA200.9.1		Certificates of Authority	Authorizations for persons to act on behalf of a school district in school lunch matters.	US	5						
SFA200.9.2		Daily Food Service Records	Daily record of full-price, reduced-price, and free breakfasts and lunches served.	FE	5						
SFA200.9.3		Food and Food Equipment Inventory		FE	5						
SFA200.9.4		Free or Reduced-Price Meal Records, Application	Applications from parents for free or reduced-price breakfasts or lunches. Rosters or lists of eligible students.	FE	5						
SFA200.9.5		Free or Reduced-Price Meal Records, Policy	Policy statements on free and reduced-price meals.	US	5						



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SFA200.9.6		Health Inspection Reports			3						
SFA200.9.7		Menu Planning Records		AV							
SFA200.9.8		Daily Menus			5						
SFA200.10.1		Evacuation and Fire Exit Plans		US							
SFA200.10.2		Fire Drill Records	Records of fire drills, including schedules, reports, correspondence with fire departments, and associated documentation.		3						
SFA200.10.3		Fire Safety Inspection Reports			3						
SFA200.11.1		Agency Fund Accounting Records	Any accounts payable, accounts receivable, or ledgers and journals used to document the receipt and expenditure of local agency funds from clearing accounts that are custodial in nature	FE	3						



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SFA200.12.1		Application for Nonrenewable Permit	Copies of applications/recommendations for professional or paraprofessional certificates or permits endorsed by the superintendent or to other authorized school official and forwarded by the district or the applicant to the TEA for the purposes of certification or review of qualifications		1						
SFA200.12.2		All other applications and recommendations that are not Nonrenewable.		AV							
SFA200.12.3		Audit Verification Cards		US						Note: The most recent audit verification card present in his or her personnel file upon separation of an employee must be retained PERMANENTLY	
SFA200.12.4		Deficiency Plan		AC	5			AC=US by a teaching certificate or separation of employee +5 years			



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SFA200.12.5		Performance Appraisal Record	Including documentation submitted by the teacher	PM							
SFA200.12.6		Observation & Evaluation Forms	Including documentation submitted by the teacher	AC	4			AC=teacher signs for receipt of appraisal record			
SFA200.12.7		Appraisers Observation Notes	Notes taken by appraisers during observations or similar written documentation created by the teacher's supervisor that, in combination with the formal observation, is used to determine credit for the criteria and indicators on the observation/evaluation forms	AC				AC = After teacher signs for receipt of observation/evaluation form, then as long as administratively valuable.			
SFA200.12.8		Teacher Assessment of Instructional Goals and Outcomes		AV							
SFA200.12.9		Professional Growth Plans			4						
SFA200.12.10		Service Record Affidavits	Affidavits attached to teacher service record claiming months served prior to the 1949-50 school year.	PM							
SFA200.12.11		Statements of Commitment (Out of State Certificates)		AC	5			AC = Until receipt by school of Texas certificate or date of separation, as applicable.			



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SFA200.12.1 2		Statements of Intention to Become a United States Citizen		AV							
SFA200.12.1 3		Teacher Certificate Registers		PM							
SFA200.12.1 4		Personnel Rosters	Including those detailing assignments to grades, courses, etc.		3						
SFA200.12.1 5		Substitute Teaching Rosters			3						
SFA200.13.1		Public Education Information Management System (PEIMS) Data Submissions		AV							



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SFA200.13.2		Data Verification Reports	Data printouts or reports from the TEA or other agencies provided for informational purposes showing data received and entered in TEA or other agency databases and similar documents seeking confirmation of the accuracy of current data information.	AV						Retention Note: For example, reports sent by Texas Education Agency (TEA) or an educational service center showing data received and entered as the result of Public Education Information Management System (PEIMS) data submissions fall under this record group as well as any retained copies of data verification reports returnable to Texas Education Agency (TEA), such as forms used to confirm and/or update data for the Texas School Directory.	



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SFA200.13.3		Surveys	Surveys, questionnaires, opinion polls, and similar documents received from the TEA or other agencies, completed and returned by the superintendent or other school official and used by the surveying agency for the preparation of needs assessments or statistical reports and not for the specific purpose of monitoring compliance with a required or grant-funded program in the respondent district.	AV							
SFA200.13.4		Program Approval Applications, Approved	Applications and supporting documentation for local programs that must be approved by the TEA before implementation but which do not involve the allocation of state or federal funds controlled by the agency.	AC	5			AC = Until superseded or life of the program, whichever applicable.			



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SFA200.13.5		Program Approval Applications, Not Approved	Applications and supporting documentation for local programs that must be approved by the TEA before implementation but which do not involve the allocation of state or federal funds controlled by the agency.	AV							
SFA200.13.6		Requests for Waiver of TEA Policies & Rules, Requests Granted	Approved requests and renewals of requests for waivers of TEA policies and rules, including any attached documentation.		5						
SFA200.13.7		Requests for Waiver of TEA Policies & Rules, Requests Not Granted	Denied requests and renewals of requests for waivers of TEA policies and rules, including any attached documentation.	AV							
SFA200.13.8		School Calendar		US	2						