

February 10, 2020



April Aultman Becker  
Dean of Library and Research Technologies  
Sul Ross State University  
400 N. Harrison, Box C-109  
Bryan Wildenthal Memorial Library  
Alpine, TX 79832

Dear Ms. Becker,

Your agency's records retention schedule is approved for use as of **2/3/2020**, and may be accessed on our website at <https://www.tsl.texas.gov/slrn/state/schedules>. Please ensure that all old copies of the schedule are superseded with this certified copy.

This approved retention schedule provides you with continuing authorization to dispose of agency records according to its terms. Please note that state rules (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.

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 **February 2025**

During a certification period, changes may need to be made to your schedule. State rules (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:

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

*Commission Chair*  
Martha Wong

*Members*

David C. Garza  
F. Lynwood Givens  
Larry G. Holt  
Arthur T. Mann  
Bradley S. Tegeler  
Darryl Tocker

Andrew Glass

512-463-2631

[aglass@tsl.texas.gov](mailto:aglass@tsl.texas.gov)

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.

*Director and Librarian*  
Mark Smith

Sincerely,

*Assistant State Librarian*  
Gloria Meraz

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

Craig Kelso

Director and State Records Administrator

cc: Agency head

**TSLAC**

*Preserving yesterday  
Informing today  
Inspiring tomorrow*



STATE OF TEXAS

Records Retention Schedule Certification

SLR 105C

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

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 756
Agency Name Sul Ross 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 [Signature]
Name (Print or type) April Aultman Becker
Date Dec 17, 2019

Section 2. Approvals

(Submitting agencies do not write in this section)

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 [Signature]
Name (Print or type) Gloria Meyer
Date 2/3/2020

Cert/Recert No. 8 Amendment No.

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## CAUTION

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

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





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

SLR 105  
 Rev. 2017-07

Retention Codes (field 7)

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

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

Archival Codes (Field 10)

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

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					Years	Months	Days				
<b>ACADEMIC AFFAIRS</b>											
AA01	17.1.004	Commencement Records	This series documents commencement program planning and implementation at the institution. Records may include but are not limited to: commencement attendance forms; planning records created by commencement committees or other planning groups; and related documentation and correspondence.	AC	4			AC = After commencement events	O		
AA02	17.1.011	Degree Program Proposal, Development, & Review - Working Files	This series provides a record of planning and discussions relating to the implementation of new undergraduate and advanced degree programs and any major reorganization or changes to established programs.		5						
AA03	17.1.012	Degree Program Proposal, Development, & Review Records - Final Reports, Minutes, Proposals, and Degree Program Reviews	This series provides a record of planning and discussions relating to the implementation of new undergraduate and advanced degree programs and any major reorganization or changes to established programs.	PM					O		
AA04	17.3.002	Denied Research Grant Proposal Applications Records	This series documents grant proposals developed by institutional units which have not been funded. This series may include but is not limited to: supporting statistics; demographic data; draft proposals; suggested revisions; final proposals; and related documentation and correspondence.	AC	2			AC = Date of notification			



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AA05	12.1.001	Faculty Appointment, Promotion, & Tenure Records	Evaluations, recommendations, and similar documentation relating to the review process for promotion and tenure for all faculty or staff in the tenure track.	AC	5			AC = Termination of employment		CAUTION: Institutions should determine whether these materials possess archival value.	29 CFR 1602.49 for Promotion and Tenure Records; 29 CFR 1602.49(a) for Personnel Information or Action Forms
AA06	15.2.016	Graduation - Diploma Administration Records	This series includes records of diplomas picked up in person, mailed, and returned.	AC	1			AC = Request fulfilled			
AA07	3.1.018	Grievance Records	Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC	5			AC = Final decision on grievance (does not include complaints filed with the EEOC)		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.	
AA08	17.3.005	Institutionally Funded Research - Minutes & Final Research Reports	This series documents the activities of the institutional councils and boards, which review proposals and make recommendations for awards to faculty for research that is not otherwise supported by organized or directed programs but is designed to lead to other funding sources.	PM					O		



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AA09	17.3.006	Institutionally Funded Research - Project Funding Review	This series documents the activities of the institutional councils and boards, which review proposals and make recommendations for awards to faculty for research that is not otherwise supported by organized or directed programs but is designed to lead to other funding sources. Examples of projects funded are pilot research, emergency funding, emerging research opportunities, new research field or new research field for investigator, developing research laboratories, and centrally shared research resources. This series may include but is not limited to: project financial reports and funding summaries.	FE	3						
AA10	17.3.007	Institutionally Funded Research - Project Review Records	This series documents the activities of the institutional councils and boards, which review proposals and make recommendations for awards to faculty for research that is not otherwise supported by organized or directed programs but is designed to lead to other funding sources.	AC	5			AC = Date of notification			
AA11	17.3.008	Intellectual Property Agreements	Includes license agreements, know-how agreements, and other contractual agreements resulting from the licensing of technology or the transfer of intellectual property.	AC	7			AC = Completion of all terms and extensions of the agreement.	O	CAUTION: Does not include patent records.	OMB Circular A-110.53 authorized by 31 U.S.C. 503, 31 U.S.C. 1111, 41 U.S.C. 405, and E.O. 11541.



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AA12	1.1.061	Meeting Minutes/Notes		AC			90	AC = Approval of the formal minutes by the governing body.		SEE caution comment at item number 1.1.058.	
AA13	1.1.024	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 result of planning process	O		
AA14	17.3.012	Research Data - Non-Grant Funded Projects	This series documents the routine research activities of research projects that are not funded by grants and are not subject to any state or federal guidelines.	AV						For research data related to grant-funded or sponsored research, please refer to URRS-296.	
AA15	17.3.013	Research Grant Records - Final Research Report	These records relate to final research reports given to a granting agency or sponsor for grant-funded or spon	AC	7			AC = Expiration or termination of the grant or agreement according to its terms	O	CAUTION: Grants may have individual guidelines for retention. Records must be retained in accordance with guidelines of grant or contract.	NIH Guidelines; OMB Circular A: 110-53
AA16	17.3.014	Research Grant Records - Working Files	These records relate to funded research grant proposals, and research activity associated with sponsored or grant-funded projects.	AC	7			AC = Close of grant		CAUTION: Grants and sponsors may have individual guidelines for retention. Records must be retained in accordance with guidelines of grant or contract. Federal grant records should comply with uniform administrative requirements for grants and cooperative agreements to state and local governments.	45 CFR 46.115(b); NIH Guidelines; OMB Circular A: 110-53
AA17	1.1.040	Reports, Papers, Speeches		AC				AC = End of term in office or termination of service	O		



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AA18	15.5.008	Student Grievance Records	This series documents grievance brought forward by students against the institutions which do not result in litigation. Grievances may pertain to academic issues; housing; affirmative action and equal opportunity; student conduct; and other issues. Records include: notices of grievance; informal discussion notes; grievance responses; formal hearing notes (including audio tapes); final summary statements; settlement agreements; appeals documentation; and related records.	AC	5			AC = Graduation or date of last attendance		CAUTION: If a grievance brought forward by students against the institution becomes part of litigation, it should be retained as a litigation record per RRS 1.1.048. If the grievance goes to the university ombudsman, the record should be retained as an ombudsman record per RRS 3.3.039.	
AA19	15.2.030	Thesis & Dissertation Records	This series documents the completion and academic acceptance of graduate theses and dissertations presented to colleges in fulfillment of requirements for graduate degrees. This series includes final and accepted copies of theses and dissertations.	PM					I		
AA20	17.3.017	Unfunded Research Grant Proposal Development Records	This series includes the administrative activities involved in the formulation and deliberations leading to submitting a grant proposal for research project funding.	AV							



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AA21	1.3.001	University Catalog		PM					O	Agency maintains permanent copy. Required copies sent to State Publications Depository Program, Texas State Library. Digital copies should be sent to the University Archives digital collection for safe keeping. The University website should not be used as the permanent storage location for these records.	
<b>AUDITS &amp; ANALYSIS</b>											
AU01	1.1.002	Internal Audits		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.	
<b>ARCHIVES OF THE BIG BEND</b>											
AR01	16.2.003	Collection or Artifact Loan Records	This series documents artifacts and material loans contracted between units of the institution or between the institution and either other institutions or individuals. These records include: signed and legally binding agreements for incoming and outgoing loans between the collection administrators; receipts for loans and return of materials to the legal holder; and related forms, documentation and correspondence.	AC	4			AC = Acceptance of return of items per contract terms.		Upon the expiration of the retention period, repositories should consider transferring loan records to the Collection Control Record (URRS-215) if they possess continuing reference or administrative value.	



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AR02	13.2.004	Gifts/Donation Journals	This series documents potential or realized private, corporate, or public agency funding to a department or program, including endowments, trusts, and funds raised by support/"friends" groups.		7				O		
AR03	16.2.010	Patron Registration Records	Patron registration forms filled out by the archives users to gain access to the reading room to view archival materials. May also include photocopies of photo identification or other related materials.		4						
AR04	16.2.011	Permissions History Files	Records of the repository granting/denying permission to reproduce images of items in the collection. Includes permission forms and correspondence requesting permission to publish images from archival collections.	AV						Refer to RRS 5.4.011 (Visitor Control Registers) for sign-in sheets, guest books, patron logs, and similar records documenting visitors to limited access or restricted areas of university facilities.	
AR05	5.2.023	Year-to-Date Activity (Inventory Listing)		FE	3						
<b>ACADEMIC DEANS</b>											
AD01	17.3.001	Animal Breeding & Management Records	This series includes records relating to the care, management and breeding of animals for research and teaching purposes.	AC				AC = Life of animal or transfer of animal to another institution			7 USC 2131 B 2157 9 CFR 2.35 Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals (D.L. 99-158)



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AD02	4.7.008	Federal Grant Records		AC	3			AC = Satisfaction of all uniform administrative requirements for grants and cooperative agreements to state and local governments			
AD03	15.2.015	Graduation - Degree Audit & Authorizations	This series documents student completion of degree requirements, including authorizations certifying completion of degree requirements. The series may include official graduation audit forms that list students' names; colleges; majors; degrees; minors; the breakdown of institutional degree requirements and how the applicants have fulfilled them; grade point averages; deans' recommendations/comments and signatures; and comprehensive examinations.	AC	3			AC = Graduation or last date of attendance			
AD04	17.3.003	Institutional Animal Care & Use Committee (IACUC) Records	This series includes meeting minutes, records of attendance, activities of the Committee, Committee deliberations, records of proposed activities involving animals and proposed significant changes in activities involving animals, and whether IACUC approval was given or withheld, and semiannual IACUC reports and recommendations (including minority views).	AC	3			AC = Completion of the activity		CAUTION: If the research facility has been notified in writing that specified records shall be retained pending completion of an investigation or proceeding, the research facility shall hold those records until their disposition is authorized in writing by the Animal and Plant Health Inspection Service of the United States Department of Agriculture.	



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AD05	1.1.063	Meeting Minutes/Notes - Staff	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.	AV					O		
AD06	1.1.067	Reports - Administrative			3				O		
AD07	1.1.065	Reports & Studies - 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 record series in this schedule. See especially item number 1.1.064	
AD08	17.3.016	Scientific Misconduct	This series is used to provide a record of accusations of misconduct brought forward by or against university personnel and affiliates and relating to research projects. These records include: accusation statements; inquiry committee findings; and related correspondence.	AC	7			AC = Completion of proceeding involving the research misconduct allegation.			42 CFR 93.317(b)
AD09		Student Degree Plans		AC	3			AC = Graduation			

**ACADEMIC DEPARTMENTS**



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ADE01	17.1.001	Academic Program Administrative Records	This series documents the daily and routine administration of academic programs of the department or college. This series may include but is not limited to: registration reports; add-drop analyses and reports; course enrollment summaries by class; graduation summaries; majors by class level; international activities; cooperative ventures; summer term classes and enrollment reports; placement information; convenience copies of reports prepared by admissions, registrar's, and other offices; memos; working papers; and related documentation and correspondence.		5				O		
ADE02	15.2.004	Applications for Admissions to Program - Enrolled/Accepted		AC	2			AC = Student separation from the department or institution		CAUTION: Not to be used for records of admissions to the institution.	
ADE03	15.2.005	Applications for Admissions to Program - Not Enrolled/Accepted		AC	1			AC = End of application term		CAUTION: Not to be used for records of admissions to the institution.	
ADE04	17.1.010	Course Schedule Maintenance Forms	This series documents requests for changes to be made to the institutional catalog and schedule of classes. The forms include: course numbers; course titles; locations; grading modes; course descriptions; designators; fees; and credit hours.		2						



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ADE05	17.1.002	Class Scheduling Records - Published Schedule of Classes	This series documents the formulation of class schedules by academic departments for inclusion in the published schedule of classes. This series includes the final edition of the schedule of classes.	PM					O		
ADE06	17.1.003	Class Scheduling Records - Working Files	This series documents the formulation of class schedules by academic departments for inclusion in the published schedule of classes. This series may include but is not limited to: requests from departments for class offerings; deviation from schedule forms; copies of course schedule maintenance forms; requests for class changes; working papers; and related documentation and correspondence.		1						
ADE07	17.1.009	Course Records	This includes but is not limited to: syllabi; course descriptions; course outlines; course summaries; course requests and proposals; curriculum approval lists; lists of classes by term; bibliographies; reading lists; course announcements; handout materials; and related documentation and correspondence.	AC	2			AC = End of semester in which course is taught.			Texas Education Code, §51.974



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ADE08	15.2.007	Course Registration and Status Records	Registration forms, class rosters, and similar records providing information on which courses students are registered for at the beginning of an academic term, including documentation evidencing the conditions under which courses are undertaken (e.g., audit, pass/fail, and credit/no credit authorizations or approvals) or evidencing changes to registration status during the term (e.g., add/drop forms by student or instructor).	AV							
ADE09	15.2.008	Curriculum Change Authorizations	This series documents student request to change their field of major study, add or remove a simultaneous major, or add or change a minor.	AV							
ADE10		Degree Plans		AC	3			AC = Graduation			
ADE11	1.1.063	Departmental Meetings Minutes/Notes	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.	AV							
ADE12	15.2.009	Departmental Student Information Files	This series provides up-to-date information on student's activity from point of enrollment to graduation or date of last attendance. Information may include personal data, activity reports, graduate student qualifying examinations, copies of placement tests, copies of partial transcripts, correspondence, evidence of graduation or last date of attendance, and related information.	AC	3			AC = Student separation from the department or institution			



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ADE13	15.2.011	Faculty Grade Book	Record of students in course and work completed. Includes computer and non-computer-generated grade sheets, and other such materials that permit a reconstruction of a student's graded performance in a course.	AC				AC = Expiration of grade appeal period		CAUTION: Records Management Officers should ascertain university policy on contesting grades when establishing a plan for the destruction of departmental copies.	
ADE14	15.2.012	Grade Change Forms	This series documents grade changes submitted by instructors through the academic departments to the Registrar.	PM						CAUTION: Records Management Officers should ascertain university policy on contesting grades when establishing a plan for the destruction of departmental copies.	
ADE15	15.2.013	Grade Reports (Report Cards to Students)	The series documents grades received by students for the term. This is the record copy of reports distributed to students at the end of each term. Individual forms include: course numbers and titles; grades awarded; grade point average; student name; and social security number or student ID number.	AC	1			AC = Date distributed		As found on Lobo Online and/or Blackboard	
ADE16	15.2.014	Graduation Application	Student applications for graduation.	AC	1			AC = Graduation or last date of attendance			



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ADE17	17.1.016	Special Academic Programs Records - Policy and Program Development Records	This series documents the administrative activities of special academic programs serving and aiding institution students. Programs documented by this series range from special requirement and certification programs to programs aimed at assisting and encouraging target groups of institution students. Included are the National Student Exchange (NSE) program; English language programs; honors programs; minority scholars programs; minority student recruitment programs; disabled student programs; non-traditional student programs; educational opportunities programs; older than average student programs; Native American science programs; study abroad programs; and other special academic programs. This series may include but is not limited to: explanatory materials on the program; notes; evaluations of courses, support services, and instructors; program course outlines; tuition payment records; program participation and aid selection records; activity accounting records; working papers; reports; and related documentation and correspondence.	PM					O		
ADE18	17.1.017	Special Academic Programs Records - Working Files			7						



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ADE19	15.2.029	Student Coursework	This includes field tests and comprehensive exams.	AC	1			AC = End of academic term		CAUTION: Coursework under dispute may not be destroyed until the resolution of the dispute.	
ADE20	17.1.018	Student Faculty/Course Evaluation Records - Non-Tenure Track Faculty	This series documents students' evaluations of non-tenure track teaching personnel and is used to help determine faculty promotion, merit increases and/or to review instructional courses and programs. These records provide students' opinions on faculty members' familiarity with current literature of the discipline, preparation, assignments, examinations, lecture styles, willingness to engage in dialogue, and availability. Records include: bubble forms (input documents); course reaction inventory printouts; statistical tabulations; summary reports; and related documentation and correspondence.	AC	3			AC = After course is completed			



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ADE21	17.1.019	Student Faculty/Course Evaluation Records - Tenure Track Faculty	This series documents students' evaluations of tenure-track teaching personnel and is used to help determine faculty tenure, promotion, merit increases and/or to review instructional courses and programs. These records provide students' opinions on faculty members' familiarity with current literature of the discipline, preparation, assignments, examinations, lecture styles, willingness to engage in dialogue, and availability. Records include: bubble forms (input documents); course reaction inventory printouts; statistical tabulations; summary reports; and related documentation and correspondence.		7					CAUTION: Retention period should be longer if the university's tenure review cycle is longer than 7 years.	
ADE22		Textbook Adoptions		CE	1						
<b>ADMISSIONS</b>											
ADM01	15.2.001	Academic Action Authorizations	Authorizations for academic actions, such as academic probation, suspensions, dismissals, reinstatements, etc.	AC	3			AC = Graduation or date of last attendance			



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ADM02	15.5.001	Academic Standing Reports	This series documents student academic standing, including academic deficiency and the status changes of academically deficient students. Records may include: reports containing student names, grade point averages (GPA's), grade point deficiencies, and numbers of previous suspensions and probations; student petitions for re-evaluation; report of student progress toward academic readmission/removal of probation status at other institutions; academic honors and awards; and related documentation and correspondence.		3						
ADM03		Acceptance Letters		AC	3			AC = Graduation			
ADM04	15.4.001	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							
ADM05	15.4.002	Access Waiver Records	Waivers of access by students to confidential letters and confidential statements of recommendation and revocations of such waivers.	AC				AC = Life of the record to which access waiver documentation applies			



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ADM06	15.1.001	Admissions Records - Enrolled/Accepted	This series documents the application process for individuals seeking admission to the institution. Records may include but are not limited to: applications for admission, entrance exam reports, letters of recommendation, medical records, readmission forms, recruitment materials, test scores, residency classification forms, transcripts from high school, and related correspondence. International student admissions records are included in this series.	AC	3			AC = Graduation or date of last attendance		CAUTION: International student academic records must be retained at least one year after final notice to Immigration and Naturalization Service.	
ADM07	15.1.002	Admissions Records - Not Enrolled/Denied	This series documents the application process for individuals seeking admission to the institution. Records may include but are not limited to: acceptance letters, applications for admission, entrance exam reports, letters of recommendation, medical records, readmission forms, recruitment materials, test scores, residency classification forms, transcripts from high school, and related correspondence.	AC	1			AC = End of Application Term		CAUTION: International student academic records must be retained at least one year after final notice to Immigration and Naturalization Service.	



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ADM08	15.2.003	Advanced Placement and Credit Records - Not Awarded	Transfer credit evaluations, national or state standardized test scores and reports (e.g., CLEP, AP, Departmental, IB, SAT II), credit by examination authorizations and reports, military course documentation (e.g., DSST, USAFI) and evaluations, non-traditional transcripts and credentials, life experience records, requests for advanced credit, and similar documentation used by a university to evaluate and determine award of credit by advanced placement.	AC	1			AC = End of academic year in which decision made			
ADM09	15.2.002	Advancement Placement and Credit Records - Awarded		AC	3			AC = Graduation or date of last attendance			
ADM10	15.2.005	Applications for Admission (Who Do Not Enter)		AC	1			AC = End of Application term		CAUTION: Not to be used for records of admission to the institution	
ADM11	15.2.004	Applications for Admission (Those Who Are Enrolled)		AC	2			AC = Student separation from the department or institution		CAUTION: Not to be used for records of admissions to the institution.	
ADM12	15.2.007	Change of Course (Add/Drop)		AV							
ADM13	15.2.006	Class Schedules of Students	This series provides a list of the classes registered for by an individual student for a particular semester.	AV							
ADM14		Class Schedules (Institutional)		PM							



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ADM15	17.1.005	Continuing Education Course Records - Final Reports	This series documents for-credit and not-for-credit course offerings and individual course contents as offered by Continuing Education (also called "extension" classes). This series comprises final and summary reports, including Texas Higher Education Coordinating Report CBM00X, for students in self-supporting courses and programs.	PM					O		
ADM16	17.1.006	Continuing Education Course Records - Working Files	This series documents for-credit and not-for-credit course offerings and individual course contents as offered by Continuing Education (also called "extension" classes). These records include: syllabi; course descriptions; course outlines; course request proposals; enrollment reports; course summaries; request for undergraduate and graduate course and instructor approval forms; nominations to the undergraduate faculty; course announcements; handout materials; budget requests; budget status forms; vouchers; and related documentation and correspondence.		5					CAUTION: Some of these records may affect accreditation, and should be kept long enough to meet accreditation cycle requirement.	



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ADM17	15.2.007	Course Registration and Status Records	Registration forms, class rosters, and similar records providing information on which courses student are registered for at the beginning of an academic term, including documentation evidencing the conditions under which courses are undertaken (e.g., audit, pass/fail, and credit/no credit authorizations or approvals) or evidencing changes to registration status during the term (e.g., add/drop forms by student or instructor).	AV						CAUTION: Not to be confused with withdrawal records. Refer to URRS - 15.2.035.	
ADM18	15.2.002	Credit by Exam	Transfer credit evaluations, national or state standardized test scores and reports (e.g., CLEP, AP, Departmental, IB, SAT II), credit by examination authorizations and reports, military course documentation (e.g., DSST, USAFI) and evaluations, non-traditional transcripts and credentials, life experience records, requests for advanced credit, and similar documentation used by a university to evaluate and determine award of credit by advanced placement.	AC	3			AC = Graduation			
ADM19	15.2.008	Curriculum Change Authorizations	This series documents student request to change their field of major study, add or remove a simultaneous major, or add or change a minor.	AV							



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ADM20	15.4.003	Disclosures	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 any party other than the student, an official of the district for what the district has determined are legitimate educational interests, a party with or without written consent from the student, or a party seeking directory information.	AC				AC = As long as disclosed record is maintained			34 CFR 99.32(a)(2)
ADM21		Enrollment Verifications			1						
ADM22		Entrance Exam Reports - Who Do Not Enter		AC	1			AC = Academic Year			
ADM23		Entrance Exam Reports - For Those Enrolled		AC	5			AC = Graduation			
ADM24	15.2.012	Grade Change Records	This series documents grade changes submitted by instructors through the academic departments to the Registrar.	PM						CAUTION: Records Management Officers should ascertain university policy on contesting grades when establishing a plan for the destruction of departmental copies.	
ADM25	15.2.017	Hazlewood Act Documentation	This series documents eligibility to claim the Hazlewood exemption and institutional records to track benefit hours claimed.	PM							19 TAC 21.85 for loans made before fall 1971. 19 TAC 21.54 for loans after fall 1971.



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					Years	Months	Days				
ADM26	15.2.018	Hazlewood Act Documentation - Non-Awarded Applicants	This series documents eligibility to claim the Hazlewood exemption and institutional records to track benefit hours claimed.	AC	2			AC = Date loan denied		Refer to URRS - 15.2.033 for Veterans Affairs Certification Records and URRS - 360 for all other records pertaining to the entitlement status and enrollment of veterans in the institution.	Texas Education Code §54.241 (Hazlewood Act, 19 TAC 21.85)
ADM28	15.2.019	Holds and Encumbrances	Documents used to place and remove holds on registration, student services, or the release of transcripts or other academic data until the subject of the hold/encumbrance takes a specific action.	AC				AC = Date of release			
ADM29	15.2.020	Independent Study Records	This series documents departmental approval for students to enroll in independent study courses. Records may include but are not limited to: permission sheets with students' names; course names; number of credits; and faculty signatures.	AC	2			AC = Student separation from the department or institution			
ADM38	15.2.023	Name Change Records	This series documents student or applicant name changes reported to the admissions or registrar's offices by students. Records may include but are not limited to: letters requesting change in name; name change authorizations; and related documentation and correspondence.	AV							



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ADM39	16.5.009	Non-Institution Student Records	This series documents and tracks the application, selection, and progress in special instructional programs of elementary through high school and non-institution students belonging to special, minority, or disadvantaged groups. Examples of programs to which this series applies are Science and Mathematics Investigative Learning Experiences (SMILE), Upward Bound, High School Equivalency, and other non-institution programs. Records may include but are not limited to: application and admission documentation; personal and family information; medical and health documentation; selection and decision making documentation; Educational Opportunity Program (EOP) documentation; notification of admission and non-admission; recommendations and evaluative materials; copies of academic records; counseling and advising notes and documentation; housing and conduct documentation; federal student aid reports; risk release and insurance forms; immigration and citizenship documentation; financial responsibility records; reports; and related documentation and correspondence.	AC	3			AC = Student separation from program			



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ADM40	17.1.013	Non-University Student Program Administration Records - Policy and Program Development Records	This series documents the administrative activities of special instructional and support programs directed to serve elementary through high school and non-institution students belonging to special, minority, or disadvantaged groups. Examples of programs to which this series applies are Science and Mathematics Investigative Learning Experiences (SMILE), Upward Bound, High School Equivalency, and other special non-institution student programs. This series comprises policy and program planning and development documentation.	PM					O		
ADM41	17.1.014	Non-University Student Program Administration Records - Working Files	This series documents the administrative activities of special instructional and support programs directed to serve elementary through high school and non-institution students belonging to special, minority, or disadvantaged groups. Examples of programs to which this series applies are Science and Mathematics Investigative Learning Experiences (SMILE), Upward Bound, High School Equivalency, and other special non-institution student programs. This series may include but is not limited to: evaluations of courses, support services, and instructors; program course outlines; tuition payment records; reports; statistical reports; working papers; and related documentation and correspondence.		5						



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ADM42	15.2.025	Personal Data Update Records	Change of address forms, race/ethnicity questionnaires, requests and authorizations to change other demographic data, and similar source documentation used to update personal data information on transcripts or other student records.	AC				AC = Date of change			
ADM43	15.4.004	Protest of Record Statements	Statements by students commenting on contested information in a student record, or stating why he or she disagrees with a university's decision not to amend a record, or both.	AC				AC = Life of the record containing the contested information			34 CFR 99.21(c)(1)
ADM44	15.4.005	Record Amendment Requests	Requests from students to amend student records, notices by an institution of denial or consent to amendments, requests for hearings on denied requests, hearing notices, and written decisions by hearing examiners.		2						
ADM45		Student Academic Records		PM						Also microfilm.	
ADM46	15.2.027	Student Certification Records - Academic	This series documents student completion of certificate programs offered by university academic programs.	AC	5			AC = Graduation or date of last attendance		CAUTION: Transcript notes regarding academic certifications awarded are maintained permanently by the Registrar.	



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ADM47	15.2.028	Student Certification Records - Professional	This series documents the preparation of students earning degrees and/or certification for licenses or certificates to enter a profession (e.g., teaching certificates) and forms the basis of the initial certification by external entities for various professions. Records may include: applications for admission to a program; registration for practicum hours and evidence of the completion of the practicum; transcripts; narrative evaluations on practicum; notice of completion of hours required for certification; recommendations and evaluations; and related correspondence.	AC	1			AC = End of certification period		CAUTION: Accrediting agencies may require longer retention periods for professional certification records. Refer to accrediting agency to determine the term of the certification process.	
ADM48	15.4.006	Student Nondisclosure Requests	Student request to opt out of directory information disclosure.	AC				AC = Until termination of nondisclosure request		34 CFR 99.37(b)	
ADM49	15.5.009	Student Statistical Reports - Raw Data	Includes raw data or working files used to create annual or summary Student Statistical Reports. Series may include: specialized listings and statistical reports pertaining to departmental and college registration, course changes, add/drops, geographical distribution of students, student age and gender data, mortality of classes, student transfers from other schools, student body grade point averages and GPAs of living groups, and veterans enrollment; reports documenting student and enrollment by term; and reports on other topics.	AV							
ADM50	15.2.031	Transcript Requests	Requests for transcripts to be provided to student or sent to other institutions.	AV							



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ADM51	15.2.032	Transcripts	Transcript, or a record equivalent in function, of the academic achievement of each enrolled student, documenting courses taken, credits granted, grades received, and any degrees or certifications awarded (including any narrative assessments or evaluations prepared in lieu of an assigned grade).	PM							
ADM52	15.1.002	Transcripts - Other Colleges (For Those Who Do Not Enter)		AC	1			AC = Academic Year			
ADM53	15.1.001	Transcripts - Other Colleges (For Those Who Are Enrolled)		AC	5			AC = Graduation			
ADM54	1.3.001	University Catalog		PM					O	Agency maintain permanent copy. Required copies sent to State Publications Depository Program, Texas State Library.	
ADM55	15.2.033	Veterans Affairs Certification Records	This series documents institutional submission of Certification of Enrollment reports required by the U.S. Department of Veterans Affairs.	AC	3			AC = Date of last period certified			U.S. Department of Veterans Affairs School Certifying Official Handbook; 38 CFR 21.4209(f)



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ADM56	15.2.034	Veterans Records	This series documents the entitlement status and enrollment of veterans in the institution. Records include but are not limited to: individual veteran student records that certify to the U.S. Department of Veterans Affairs that the student is eligible for educational benefits, is currently enrolled at the institution in a qualifying curriculum, and is maintaining standards required to receive entitlements; veterans attendance reports; and related forms, documentation and correspondence.	AC	3			AC = Graduation or last date of attendance			
ADM57	15.2.035	Withdrawal Forms & Authorizations	Requests and authorizations for a student to withdraw from classes after calendar deadlines without academic penalty for reasons acceptable to a university.	AV							
ADM58	15.4.007	Written Consents	Written consents for information disclosure from the eligible student or student's parents.	AC				AC = Until termination of waiver			
<b>ACCOUNTING</b>											
ACC01	4.1.001	Accounts Payable Information		FE	3						
ACC02	4.5.003	Annual Financial Report	Required by the General Appropriations Act (100 Day Report).	PM						Agency retains permanent copy. Required copies sent to State Publications Depository Program, Texas State Library.	
ACC03	1.1.002	Audits - External		AC	7			AC = Audit completed			
ACC04	4.7.002	Bank Statements		FE	3						
ACC05	4.1.002	Billing Detail		FE	3					CAUTION: Does not include long distance telephone billing detail.	



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ACC06	4.1.003	Cancelled Checks/Stubs/Warrants/Drafts		FE	3						
ACC07	4.7.004	Capital Asset Records		LA	3						
ACC08	4.6.003	Cash Counts		FE	3						
ACC09	4.2.001	Cash Deposit Vouchers	Cash deposit slips.	FE	3						
ACC10	4.7.006	Comptroller Statements		FE	4						
ACC11	4.2.003	Daily Cash Receipt Log		FE	3						
ACC12	4.1.008	Electronic Fund Transfers	Direct Deposit Registers.	FE	3						
ACC13	4.2.004	Encumbrance Vouchers	Orders, statements, change orders, etc.	FE	3						
ACC14	4.3.003	Expenditures Journals or Registers		FE	3						
ACC15	4.2.007	Expenditure Vouchers	Travel, payroll, etc.	FE	3						
ACC16	4.5.005	External Fiscal Reports	Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE	3						
ACC17	4.7.008	Federal Grant Information on File		AC	3			AC = Satisfaction of all uniform administrative requirements for grants and cooperative agreements to State and Local governments			
ACC18	15.3.001	Fee Assessment Forms	This series documents the payment of fees for course fees, lab time, diplomas, commencement exercises, etc.	AC	5			AC = Graduation or date of last attendance			
ACC19	4.7.009	Fixed Asset Sequential Number Log		US	3						
ACC20	4.2.006	General Journal Voucher		FE	3						
ACC21	4.4.001	General Ledgers		FE	3						
ACC22	4.5.002	Internal Fiscal Management Reports	Includes agency monthly budget reports.	FE	3						
ACC23	5.2.014	Inventory - Annual Physical	Property, equipment, supply verification.	FE	3						



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ACC24	4.1.006	Investment Transaction Files		FE	3						
ACC25	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 requirement met by sending copies to the Texas State Publications Depository Program, Texas State Library.	
ACC26	4.7.010	Long-Term Liability	Bonds, etc.	AC	3			AC = Retirement of debt			
ACC27	5.2.017	Lost & Stolen Property Reports		FE	3						
ACC28	13.3.006	Non-Federal Grant Records on File	This series documents grants and contracts from private foundations or non-federal government agencies awarded to faculty, staff and graduate assistants. Information includes name of project, award notification, contract number, and other related information.	AC	3			AC = Satisfaction of the grant according to its terms			
ACC29	4.3.002	Receipts Journals or Registers		FE	3						
ACC30	4.6.002	Reconciliations		FE	3						
ACC31	4.7.003	Returned Checks/Stubs/Warrants/Drafts (uncollectable)		AC	3			AC = After deemed uncollectable			
ACC32	5.2.021	Surplus Property Sale		FE	3						
ACC33	12.1.007	Tax Documentation for International Scholars	This series documents international students' and scholars' acquisition of social security numbers. This series may include but is not limited to: social security number applications; Statement of Information - Social Security Account Number forms (CO-204); photocopies of social security cards; Controllers Division reports; and related documentation and correspondence.	AC	3			AC = Date of application			



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ACC34	13.1.001	Ticket Sales Records - Other	This series documents the printing, selling, distribution, and accounting of tickets for university-sponsored performing arts and other non-athletic events where tickets are sold for admission. Records may include: ticket stock orders; ticket type reports; ticket purchase manifest forms; box office balance sheets; ticket printing and control records; season ticket sales lists; receipts and orders for mail, phone, or in-person purchase of tickets; ticket sales summary sheets and reports; free ticket sign-up sheets; lists and reports of free tickets distributed to patrons, contributors, and others; deposit receipts; and related documentation and correspondence.	FE	3						
ACC35	4.1.007	Transfers or Adjustments - Journal Entries		FE	3						
ACC36	3.3.023	Travel Authorization Request		FE	3						
ACC37	4.5.007	USAS Daily		AC				AC = Receipt and reconciliation of monthly report			
ACC38	4.5.008	USAS Monthly		AC				AC = Receipt and reconciliation of monthly report			
ACC39	4.5.009	USAS Annual		FE	3						
<b>ATHLETICS</b>											



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ATH01	18.2.001	Athletic Eligibility Records	Academic progress reports used to provide a record of verification by intercollegiate athletics of student athletes' academic progress to the NCAA or NAIA.	AC	10			AC = Student separation from the department or university			
ATH02	18.2.004	Catastrophic Injury Insurance Records	This series documents on-going insurance activity on cases that qualified for catastrophic status by having claims of over \$50,000 for NCAA schools and \$25,000 for NAIA schools in the first two years of the claim. This series may include but is not limited to: accident reports; annual insurance questionnaires; notes; claim forms; and related documentation and correspondence.	AC	5			AC = Closure of claim			
ATH03	18.2.005	Competition Record - NCAA Reporting Requirements	This series provides a summary record of individual games and competitions and is used to comply with NCAA and NAIA reporting requirements for both revenue and non-revenue producing sports. Information on the individual forms includes: sport name; opponent name; date; event location; final score; player names and positions; time played per athlete; and the signature of the head coach or athletic director.		10						
ATH04	18.2.006	Competition Scheduling Records	This series documents competition schedules set up with other institutions by coaches and the athletic director. This series may include but is not limited to: correspondence; phone notes; contracts; final schedules; and related documentation and correspondence.	AC	7			AC = Expiration of contract			



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ATH05	18.2.007	Drug Test Records - Negative Results	This series is used to provide the athletic director with a record of the negative results of drug testing done on student athletes. These records include: lab reports; interpretations; and related documentation and correspondence.		2						
ATH06	18.2.008	Drug Test Records - Positive Results	This series is used to provide the athletic director with a record of the positive results of drug testing done on student athletes. These records include: lab reports; interpretations; and related documentation and correspondence.	AC	5			AC = End of eligibility			
ATH07	18.2.009	Game Arrangement Records	This series is used to provide a reference record of arrangements made for and the schedules of past games. This series may include but is not limited to: team practice schedules; team position assignments/depth charts; itineraries; bus lists; notes; and related documentation and correspondence.	AC	5			AC = End of sport season			
ATH08	18.2.010	Game Day Totals	This series documents the total ticket sales and concessions, including concession items other than food or drink and NCAA licensed merchandise, for each sporting event.	FE	3						



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ATH09	18.2.011	Game Officials' Evaluation Forms	This series is used to provide a record of the head coach's evaluation of judging officials' performance at individual football games. The series is also used to comply with NCAA, NAIA and conference rules and regulations. Information on the individual forms includes: team names; site; game date; judging officials' names; evaluative scores; comments; and coach's signature.		1						
ATH10	18.2.012	Game Statistics	This series documents the practice, playing, and attendance statistics about each game and the season for each sport by playing year. This series may include but is not limited to: player academic statistics; attendance figures; player training charts; season and game player statistics; recruitment records; special teams statistics; rankings; awards information; NAIA and NCAA game statistics; media releases; all-conference nominations; spring and fall camp depth charts; numerical rosters; media guides; narrative reports on games and scrimmages; final team statistics for each game; NAIA and NCAA official scoring summaries; play-by-play written reports; and related documentation and correspondence.		75				O		



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ATH11	18.2.013	Game Ticket & Ticket Orders	This series documents the sale and purchase of season passes and game day tickets. Records include but are not limited to: extra game tickets, ticket orders, season pass order forms, and ticket stubs.	FE	3						
ATH12	18.2.014	Individual Athletes Records - Confidential	This series includes confidential records of the athletic history of each athlete who has competed at the institution. Frequently, this series is a continuation of the recruitment file and includes recruitment records if an athlete signs a letter of intent. Records may include and may not be limited to: academic major information including performance reports, admissions verification reports, academic transcripts, and financial aid information, recruitment information documents, and related documentation and correspondence.	AC	5			AC = Date of separation from the institution			



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					Years	Months	Days				
ATH13	18.2.015	Individual Athletes Records - Public Profile	This series documents the athletic history of each athlete who has competed at the institution. Frequently, this series is a continuation of the recruitment file and includes recruitment records if an athlete signs a letter of intent. Records may include and may not be limited to: academic major information including performance reports, admissions verification reports, recruitment information documents, media articles; photographs, release of information forms, personal data questionnaires, records of awards, and related documentation and correspondence.	PM					O		
ATH14	18.2.016	Play Books	This series documents the strategies, practice time and game plays for each game in the season. This series may include but is not limited to: practice plans; game plans; and game results.		5						
ATH15	18.2.017	Practice Schedule Records	This series is used to monitor practice time for athletic teams and assist in complying with NCAA, NAIA and conference rules and regulations. This series contains team rosters indicating time spent in: practices; meetings; training and conditioning; and competition.		5						



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					Years	Months	Days				
ATH16	18.2.018	Recruiting Records - Athletics	This series documents the recruitment of athletes into the institution's intercollegiate athletics program. The series also provides a record of the recruitment process for prospective players created by the institution to comply with NCAA, NAIA and conference rules and regulations. This series may include but is not limited to: the institution's football questionnaire forms with personal, scholastic, football, general, and transcript release information; information request cover sheets; grade transcripts; Information for Certification of NCAA Freshman Athletics Eligibility Compliance (with By-Law 5-1-j forms, number 40-c); letters of intent; copies of admissions forms and materials; performance reports; telephone and conversation notes; mailing lists; and related documentation and correspondence.	AC	5			AC = End of eligibility			
ATH17	18.2.023	Student Athletes Dining Rosters	This series documents the meals consumed by student athletes as part of the training table. This series may include but is not limited to: rosters with the names of athletes partaking of meals and absent from meals; menus; and related documentation and correspondence.		2						



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ATH18	18.2.024	Student Athletes Medical Records	This series documents the medical history of each athlete before and during his/her attendance at the institution. This series may include but is not limited to: annual health appraisals; authorization to release information forms; treatment consent forms; assumption of risk forms; accident reports; X-rays and X-ray reports; prescription records; off campus treatment source records; insurance questionnaires; psychological counseling records; and related documentation and correspondence.	AC	7			AC = Last date on which service was given or until the patient's 21st birthday, whichever later			
ATH19	18.2.019	Sports Merchandising Records	This series documents the sale of institutional and NCAA or NAIA-licensed merchandise at sporting events. Records may include: sales reports; merchandise comment sheets; and related correspondence.	FE	3						



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ATH20	18.2.025	Ticket Sales & Event Cash Reconciliation Records - Athletics	This series documents the printing, selling, distribution, and accounting of tickets for university-sponsored athletic events where tickets are sold for admission. A portion of athletic event receipts is shared with visiting teams. Records may include: ticket stock orders; ticket type reports; ticket purchase manifest forms; box office balance sheets; ticket printing and control records; season ticket sales lists; receipts and orders for mail, phone, or in-person purchase of tickets; ticket sales summary sheets and reports; free ticket sign-up sheets; lists and reports of free tickets distributed to patrons, contributors, and others; deposit receipts; and related documentation and correspondence.	FE	5						
<b>BORDERLAND INSTITUTE</b>											
BRI01	4.7	Gift/Donation Journals	Gift or donations that are received to be considered assets	LA	3						
<b>BUDGET OFFICE</b>											
BU01	4.5.006	Annual Operating Budget	Required by the General Appropriations Act.	FE	3				O		
BU02	4.1.007	Budget Transfers or Adjustments		FE	3						
<b>CAREER SERVICES &amp; TESTING</b>											



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CA01	16.5.002	Career Counseling & Placement Records	Used to assist students in planning career goals and objectives. This series also provides prospective employers with a record of students' scholastic and personal data. Information may include, but is not limited to, career goals, academic credentials, personal data, work experience, honors, distinctions, consent forms for release of information, records regarding graduation or last date of attendance, and related information.	AC	5			AC = Graduation or date of last attendance			
CA02		GED Applications		AC	5			AC = GED completed			
CA03		GED Test Scores		AC	5			AC = GED completed			
CA04		GED Transcripts		PM							
CA05	15.2.021	Internship Applications - Not Enrolled/Denied	Applications for internship programs for which student was denied or did not enroll.	AC	1			AC = End of academic term in which internship occurred			
CA06	15.2.022	Internship Program Records	This series is used to provide a record of the administration of student internship, practicum and cooperative education programs. Programs may be within the institution or off campus and for class credit and/or pay. Records may include but are not limited to: applications for internships inside and external to the institution; agreements with departments; postings/notices; student resumes; transcripts; copies of contracts; proposed institution listings; notes; and related documentation and correspondence.	AC	5			AC = End of academic term in which internship occurred			



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CA07	15.1.006	National Exams - Test Administration Records	This series provides a record of the services rendered to clients by administering tests required of students seeking admission to various programs or seeking to substitute already acquired knowledge for formal college courses. Tests administered include Scholastic Aptitude (SAT); American College (ACT); Graduate Record Examination (GRE); Medical School Admission (MCAT); Pharmacy School Admission (PCAT); Business School Admission (GMAT); National Teacher Education (NTE); Veterinary College Admission Test (VCAT); and Test of English as a Foreign Language (TOEFL). Records may include but are not limited to: testing rules and regulations; rosters of test takers; seating charts; supervisors' reports; and vouchers for payment of testing. This series does not include test scores.	FE	3						
CA08		Student Placement Files		AC	5			AC = Graduation			

**CENTER FOR BIG BEND STUDIES**



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CBB01	1.3.001	Agency Publications	One copy of each state publication as defined on page xi of this schedule, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003, which also meet the definition, are closely associated with the appropriations process and must be retained AC + 6.	PM							
CBB02	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		
CBB03	1.1.067	Reports - Administrative			3				O		
<b>COUNSELING &amp; ACCESSIBILITY SERVICES</b>											
CO01	16.1.008	Counseling Case Records	This series documents all clients who are provided counseling services by the institution's counseling center. Clinicians provide treatment concerning personal problems, academic concerns, and career concerns. Records may include: extensive notes made by providers concerning the assessment, diagnosis, treatment and contacts (written, telephone, or in person) with each client; referral letters; release of information agreements; letters to agencies or others concerning the clients; and related documentation.	AC	5			AC = Last contact with client		CAUTION: Please refer to 16.1.034 for Psychological or Psychiatric Case Records.	22 TAC 681.41®



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<b>CREATIVE SERVICES</b>											
CR01	1.3.001	Agency Publications		PM					I		
CR02	1.1.019	News or Press Releases	News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.		2				O		
CR03	11.1.011	Photographs, Audiovisual Recordings, other Non-Textual Media	This series provides photographic and/or audiovisual documentation of institution activities, events, students, faculty, and staff. It may be used for student recruitment and orientation, fund-raising, publicity, publications, research, or teaching. This series includes photographs, digital images, photographic scrapbooks, negatives, slide formats, sound recordings, videotapes, posters, and other non-textual media that document institutional history and activities, *except* such records noted elsewhere in this schedule.	AV					O	ARCHIVES NOTE: Archivists should apply archival selection criteria in the appraisal of these items. Selection criteria may include level of identification. Archivists may arrange with digital asset managers or similar personnel to identify historical photographs prior to transfer to the archives. Refer also to RRS 1.1.057 for classification of those images that are weeded out (as unusable, almost-duplicates, etc.)	
CR04	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		
CR05	1.1.067	Reports & Studies			3				O		



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CR06	11.1.014	Subject Files - Media & Communication	This series provides background information on institutional faculty and staff, buildings, events, traditions, and other special topics that document a university's history and culture. The records may be used to support research, responses to inquiries, and other purposes. This series may include but is not limited to: newspaper clippings; photographs; published and unpublished historical sketches; pamphlets; statistics; ephemera; biographical sketches; vitae; photographs; personal history data sheets; newspaper clippings; retirement notices; funeral programs; obituaries; and related documentation and correspondence.	AV					O		
<b>DEVELOPMENT OFFICE</b>											
DEV01	11.1.001	Alumni Association Services Program Records			5				O		



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DEV02	11.1.002	Alumni Records	This series documents the activities of an institution or department's alumni and may also provide alumni offices with information on alumni. Records may be used: to create a network of support from alumni, primarily through organized alumni groups; to track alumni; to monitor their achievements, activities, and recognitions; to create statistics; to reply to information requests; and to provide information on the accomplishments of previous students. This series may include but is not limited to: memberships lists with names, addresses, employer names and addresses, and positions; minutes, by-laws and directories of clubs in many communities and several major cities throughout the United States; promotional materials concerning annual gatherings; homecoming plans and programs; data cards and files for individual alumni; degree recipient lists; outstanding alumni lists; student leader lists; class officer lists; foreign student rosters; international alumni club records; and notes, memoranda, and related correspondence concerning general alumni affairs.	AV				I			



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DEV03	13.2.001	Donor Files	Includes individual donor and prospective donor files.	AC				AC = Prospect ceases to be viable	I	CAUTION: Includes donor or prospective donor information only. For records of gifts, refer to Government Code, 13.2.005 (Gift Records - Institutional) and URRS-75 (Gift Records - Department or Program). CAUTION: The name or other identifying information about a donor may be withheld from public disclosure under the Public Information Act. Government Code Sec. 552.1235.	Government Code, Chapter 552.1235 (EXCEPTION: IDENTITY OF PRIVATE DONOR TO INSTITUTION OF HIGHER EDUCATION) - donors to higher ed institutions may be anonymous; identity may be withheld.
DEV04	13.2.002	Fundraising Records	This series documents institutional efforts to raise funds to support program functions and facilities. This series may include but is not limited to: requests for fund-raising; gift history reports; background on previous donations; pledges; and related documentation and correspondence.		7					CAUTION: Does not include financial records	
DEV05	13.2.003	Gift Records - Class & Alumni	This series provides a record of gifts given to the institution by graduating or alumni classes. This series may include but is not limited to: gift lists; gift histories; a record of gift placement arrangements; and related documentation and correspondence.		5				I	Refer to 13.2.005 for records documenting potential or realized funding to the institution such as endowments and trusts.	



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DEV06	13.2.004	Gift Records - Department or Program	This series documents potential or realized private, corporate, or public agency funding to a department or program, including endowments, trusts, and funds raised by support/"friends" groups.		7						
DEV07	13.2.005	Gift Records - Institutional	This series documents potential or realized private, corporate, or public agency funding to the institution, including endowments and trusts. This series includes letters and agreements of gift, copies of bequest instruments and wills from individuals or estates, and related documentation and correspondence.	PM					I	CAUTION: The name or other identifying information about a donor may be withheld from public disclosure under the Public Information Act. Government Code Sec. 552.1235.	
<b>EARLY CHILDHOOD DEVELOPMENT CENTER</b>											
ECD01	16.5.004	Child-Care Records - Health-Care Professional Recommendations/Orders	Includes healthcare professional recommendations or orders for providing specialized medical assistance to the child.	AC		3		AC = Health-care professional has indicated that the specialized medical assistance is no longer needed			40 TAC §746.603(a)(10) and (b)(2)
ECD02	16.5.005	Child-Care Records - Individual Child	Enrollment agreement as specified in 40 TAC §746.503; admission information; statement of child's health from a health-care professional; immunization records; tuberculin testing information and hearing/vision tests (if applicable); Licensing Incident/Illness Report form.	AC		3		AC = Child's last day in care			40 TAC §746.801 and §746.803



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ECD03	16.5.006	Child-Care - Licensing, Safety, & Compliance	Child-care center administrative records required by the Texas Department of Family and Protective Services under 40 TAC §746.801.				3			CAUTION: Refer to the Texas State Records Retention Schedule for personnel and training records, including employee attendance records.	40 TAC §746.801 and §746.803
ECD04	16.5.007	Child-Care Center Records - Medication Administration	Medication logs, instructions, and other records related to the administration of medication to children in the child-care facility's care.	AC			3	AC = Administration of medication			40 TAC §746.603(a)(9) and (b)(1).
<b>ENROLLMENT MANAGEMENT</b>											
EN01	15.5.002	Admissions/Enrollment Reports	Summary and statistical information relating to student admission programs which may be used for control, planning or review. May include THECB reports, reports sent to administration, or beginning of semester enrollment reports sent to office of institutional research.	PM						For raw data or working files used to create these reports, refer to RRS 1.1.065 (Reports and Studies (Non-fiscal) - Raw Data).	
EN02	15.2.010	Enrollment Census Reports (4th & 12th class day rosters)	Attendance reports prepared by faculty on class census day and used as source documentation for enrollment reports submitted to the Texas Higher Education Coordinating Board.	FE			3				



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EN03		Recruiting Information	This series documents effort of the institutional units to recruit students based upon disadvantaged status, academic performance, and other criteria. Records may include but are not limited to: prospects lists; advertisement tearsheets, direct mail pieces, promotional literature, and similar material used to recruit students.		3					CAUTION: For recruitment of individual students, refer to 15.5.005. For recruitment of athletes into the institution's intercollegiate athletics program, refer to 18.2.018.	
EN04	15.5.004	Recruitment Records	This series documents effort of the institutional units to recruit students based upon disadvantaged status, academic performance, and other criteria. Records may include but are not limited to: prospects lists; advertisement tearsheets, direct mail pieces, promotional literature, and similar material used to recruit students.		3					CAUTION: For recruitment of individual students, refer to 15.5.005. For recruitment of athletes into the institution's intercollegiate athletics program, refer to 18.2.018.	
EN05	15.5.005	Recruitment Records Individual Students	This series documents effort of the institutional units to recruit students based upon disadvantaged status, academic performance, and other criteria. Records may include but are not limited to: prospects lists; advertisement tearsheets, direct mail pieces, promotional literature, and similar material used to recruit students.	AC	1			AC = End of application term		CAUTION: Does not include records of recruitment of athletes into the institution's intercollegiate athletics program. Refer to 18.2.018.	



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EN06	16.5.010	Recruiters Records	This series documents effort of the institutional units to recruit students based upon disadvantaged status, academic performance, and other criteria. Records may include but are not limited to: prospects lists; advertisement tearsheets, direct mail pieces, promotional literature, and similar material used to recruit students.		2						
<b>FINANCIAL ASSISTANCE</b>											
FA01	15.3.002	Financial Aid Application and Award Records - All Local Grant, Scholarship, Loan, or Work-Study Programs	Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs. Includes records of recipients of all local grants, scholarships, loans, or work-study.	AC	3			AC = End of the award period			



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FA02	15.3.003	Financial Aid Application and Award Records - All other Federal or State Loan Programs	<p>Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs.</p> <p>Includes records of recipients of all other federal or state loans.</p>	AC	5			AC = End of the period for which the loan was intended			



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FA03	15.3.004	Financial Aid Application and Award Records - All Other Federal or State Grant, Scholarship, and Work-Study Programs	Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs. Includes records of recipients of all other	AC	5			AC = End of award year			



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FA04	15.3.006	Financial Aid Application and Award Records - Income Contingent Loan (ICL), Perkins Loan, Federal Work-Study, Federal Supplemental Educational Opportunity Grant (FSEOG) Programs	Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs. Includes records of recipients of Income Contingent Loan (ICL), Perkins Loan, Federal Work-Study (FWS), and Federal Supplemental Educational Opportunity Grant (FSEOG) Programs.	AC	3			AC = Submission of annual report for the award year			34 CFR 668.24, 674.19(e)(3), 675.19(b)(1), and 676.19(b).



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FA05	15.3.007	Financial Aid Application and Award Records - Non-Awarded	<p>Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs.</p> <p>Includes records of those who applied for but did not receive financial aid.</p>	AC	1			AC = End of the academic period for which aid was denied			



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FA06	15.3.008	Financial Aid Application and Award Records - Pell Grant Program	Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to	AC	5			AC = End of award year			34 CFR 690.82(a)



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FA07	15.3.009	Financial Aid Application and Award Records - Stafford and PLUS Programs	<p>Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs.</p> <p>Includes records of recipients of Stafford loans (formerly Guaranteed Student Loans) and PLUS Program loans.</p>	AC	3			AC = End of the period for which the loan was intended			34 CFR 682.610(a)(2), 34 CFR 668.24



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FA08	15.3.010	Financial Aid Application and Award Records - Veterans Administration Education Assistance Allowances	Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs. Includes records of recipients of Veterans Administration educational assistance allowances.	AC	3			AC = Termination of enrollment			38 CFR 21.4209(f).



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FA09	15.3.011	Financial Aid Disbursement and Repayment Records - All other Federal or State Loan Programs	<p>Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans.</p> <p>Includes disbursement and repayment records of all other federal or state loan programs whose funds are administered by agencies other than the university.</p>	AC	5			AC = End of the period for which the loan was intended			



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FA10	15.3.012	Financial Aid Disbursement and Repayment Records - Institutionally Funded Loan Programs	<p>Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans.</p> <p>Includes disbursement and repayment records of institutionally-funded loan programs.</p>	AC	3						



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FA11	15.3.013	Financial Aid Disbursement and Repayment Records - All other University-Administered Federal or State Loan Programs	<p>Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans.</p> <p>Includes disbursement and repayment records of all other federal or state loan programs whose funds are administered by the university.</p>	AC	5			AC = Date of final repayment or cancellation			



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FA12	15.3.014	Financial Aid Disbursement and Repayment Records - Local Grant, Scholarship, or Work-Study Programs	<p>Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans.</p> <p>Includes disbursement and repayment records of local grant, scholarship, or work-study programs.</p>	AC	3			AC = End of award year			



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					Years	Months	Days				
FA13	15.3.016	Financial Aid Disbursement and Repayment Records - Veterans Administration Educational Assistance Allowances	<p>Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the junior college and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans.</p> <p>Includes disbursement and repayment records of Veterans Administration educational assistance allowances.</p>	AC	3			AC = Termination of enrollment			38 CFR 21.4209(f)



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					Years	Months	Days				
FA14	15.3.019	Financial Aid Disbursement and Repayment Records - Stafford and PLUS Programs	<p>Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans.</p> <p>Includes disbursement and repayment records of Stafford (formerly Guaranteed Student Loan) and PLUS Programs.</p>	AC	5			AC = End of the period for which the loan was intended			34 CFR 682.610(a)(2)



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FA15	15.3.020	Financial Aid Disbursement and Repayment Records - Pell Grant Program	<p>Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans.</p> <p>Includes disbursement and repayment records of Pell Grant Program.</p>	AC	3			AC = End of award year			34 CFR 690.82(a), 34 CFR 668.24.



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FA16	15.3.021	Financial Aid Disbursement and Repayment Records - Federal Work-Study (FWS) and Federal Supplemental Educational Opportunity Grant (FSEOG) Programs	<p>Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans.</p> <p>Includes disbursement and repayment records of Federal Work-Study (FWS) and Federal Supplemental Educational Opportunity Grant (FSEOG) Programs.</p>	AC	3			AC = Submission of annual report for the award year			34 CFR 675.19(b)(1), 676.19(b), and 668.24(a)



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FA17	15.3.022	Financial Aid Disbursement and Repayment Records - Income Contingent Loan (ICL) and Perkins Loan Programs	<p>Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans.</p> <p>Includes disbursement and repayment records of Income Contingent Loan (ICL) and Perkins Loan Programs.</p>	AC	5			AC = Date of final repayment or cancellation			34 CFR 674.19(e)(3)



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FA18	15.3.023	Financial Aid Program Fiscal Operations Report (FISAP)	The Fiscal Operations Report and Application to Participate in the Federal Perkins Loan, Federal Supplemental Educational Opportunity Grant (FSEOG), and Federal Work-Study (FWS) Programs (FISAP) and any records necessary to support the data contained in the FISAP.	AC	3			AC = End of the award year in which the report was submitted			34 CFR 668.24(e)(1)(i) for Federal Title IV, 674.19(e)(3)(i) for Federal Perkins Loan, 675.19(b)(1) for Federal Work Study (FWS), and 676.19(b) for Federal Supplemental Educational Opportunity Grant (FSEOG).
FA19	15.3.025	Financial Aid Program - Institutional Program Files	Documentation of the university's participation in financial aid programs (such as Federal Title IV). Required records include: Program Participation Agreements; application portion of the FISAP; accrediting and licensing agency reviews, approvals, reports; state agency reports; audit and program review reports; self-evaluation reports; other records pertaining to financial responsibility and standards of administrative capacity.	AC	3			AC = End of award year			34 CFR 668.24 for Title IV and HEA, 34 CFR 674.19(e)(3)(i) for Federal Perkins Loan, 34 CFR 675.19(b)(1) for Federal Work-Study (FWS), 34 CFR 690.82(a) for Federal Pell Grant, and 34 CFR 676.19(b) for Federal Supplemental Educational Opportunity Grant (FSEOG).



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FA20	15.3.026	Perkins Original Promissory Notes	This series consists of the promissory notes for student loans negotiated for the current academic year.	AC				AC = Until loan is satisfied or documents are needed to enforce obligation			34 CFR 674.19(e)(4)
FA21	15.1.007	Residency Affidavits & Documentation	This series documents declarations filed by students regarding state residency status which is critical for determining tuition status. Records may include but are not limited to: affidavits; correspondence regarding residency; and related documentation.	AC	6			AC = Date of submission			Texas Education Code §54.052
FA22		Scholarship Applications			3						
FA23	11.1.004	Scholarship Awards			3						
FA24		Student Financial Aid Records		AC	3			AC = After graduation or last date of attendance			
FA25		Student Loan Records		AC	5			AC = After graduation or last date of attendance			AACRAO Schedule C
FA26	15.3.027	Tuition Exemption and Remission Records	Applications for and supporting documentation evidencing the grant of tuition exemptions or remissions. This series may include but is not limited to: authorizations; reconciled lists; account summaries; and related documentation.	AC	3			AC = End of award year			
FA27	15.3.028	Tuition Rebate Documentation	Includes tuition rebate form and any supporting documentation pertaining to college tuition rebate program under Texas Education Code Sec. 54.0065.	AC	5			AC = Graduation or date of last attendance			
<b>FINANCE &amp; OPERATIONS</b>											
FO01	5.1.001	Contracts and Leases	Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of instrument according to its terms		To include original investment agreements.	
FO02	5.1.001	Contracts and Leases -	Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of instrument according to its terms		To include original investment agreements.	



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FO03	4.7.008	Endowment Records		PM							
FO04	5.1.013	Insurance Policies	Executed on or after Septemeber 1, 2015	AC	7			AC = Expiration or termination of the policy according to its terms			Government Code, 441.1855
FO05	1.1.002	Reports - Audits		AC	7			AC = Audit completed		The State Auditor's Office retains any copies of its audits performed on Texas State Agencies.	
FO06	1.1.068	Reports - Performance and Funds Management	Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC	6			AC = September 1 of odd-numbered calendar years			
FO07	3.1.035	Surety Bonds	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. SEE related item 5.1.001 Contracts and Leases	Government Code, 441.1855
FO08	3.1.035	Surety bonds	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. SEE related item 5.1.001 Contracts and Leases	Government Code, 441.1855
FO09	4.5.001	Worksheets for Preparing Fiscal Report		FE	3						
<b>GRANTS</b>											



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GR01	4.7.008	Federal Grant Records		AC	3			AC = Satisfaction of all uniform administrative requirements for grants and cooperative agreements to state and local governments			
GR02		Student Files		AC	3			AC = Satisfaction of all uniform administrative requirements for grants and cooperative agreements to state and local governments			
<b>HUMAN RESOURCES</b>											
HR01	3.1.002	Active Personnel Files		AC	5			AC = Termination of service			
HR02	16.5.001	ADA Accommodations	Requests for employees and students participating in the Services to Students with Disabilities (SSD) or similar program, and anyone visiting university facilities. Includes supporting documentation.	AC	3			AC = Date of last contact			
HR03	1.1.056	ADA Documentation	Self evaluations and plans documenting compliance with the requirements of the Americans With Disabilities Act.		3						28 CFR 35.105(c)
HR04	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.
HR05	3.1.002	Applications for Employment - Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC	5			Ac = Termination of employment		Includes applications, resumes, transcripts, etc.	29 CFR 1602.49(a)



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HR06	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						20 CFR 1602.49
HR07	11.1.003	Award Administration and History Records		AC				AC = Termination of award	O	ARCHIVES NOTE: Only institutional awards merit archival review. Department-level awards recognizing employee or student achievement do not need to be reviewed for archival value.	
HR08	11.1.004	Award Selection Records	This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. Includes: eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, and biographies of winners.		2					CAUTION: This records series documents the process of selecting an individual to receive an award. A record of an employee's receiving an award, incentive, or tenure should be classified under RRS item number 3.1.037.	
HR09	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)



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HR10	3.1.026	Criminal History Checks	Criminal history record information on job applicants or agency employees.	AC				AC = The criminal history record has served the immediate purpose for which it was obtained		CAUTION: An agency that is authorized to obtain a criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.	
HR11	3.2.008	Direct Deposit Authorization		US							
HR12	3.3.031	EEO-6 Reports	Includes documentation used to complete EEO reports.		3						29 CFR 1602.48 & 50
HR13	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	O	CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	
HR14	3.2.001	Employee Deduction Authorizations	Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC	4			AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.			
HR15	3.1.037	Employee Recognition	Awards, incentives, tenure, etc.	AC	5			AC = Termination of employment	O		



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HR16	3.1.011	Employee's Insurance Files	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	4			AC = Insurance coverage end or termination, whichever sooner		CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	
HR17	3.1.014	Employment Selection Job Files	Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving record and previous injury checks, pre-employment physical examinations, pre-employment drug screening test results, polygraph examination results; and all other records that document the selection process.		2					CAUTION: Does not include criminal history checks. SEE item number 3.1.026.	29 CFR 1602.49
HR18	3.2.003	Federal Tax Records	Includes 1099, W2, FICA, and other tax records.	AC	4			AC = Tax due date, date of the claim if filed, or date tax is paid, whichever is later			29 CFR 31.6001-1(e)(2)
HR19	3.3.026	FTE Reports		US	3						
HR20	3.1.018	Grievance Proceedings		AC	5			AC = Final decision on grievance (does not include complaints filed with the EEOC)			
HR21	3.3.004	Group Insurance		US	1						
HR22	3.2.010	Human Resources Information System (HRIS) Reports	Includes supporting documentation.	AC	4			AC = Reports completed			



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HR23	3.1.029	I-9 Documentation	Federal reporting form (INS I-9).	AC	1			AC = Termination of employment		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.	CFR 274a.2(b)(2)(i)(A) and (c)(2).
HR24	3.3.011	Inactive Personnel 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.	PM						1950-1974 on payroll ledger sheets, 1975-1990 on microfilm, 1991-present in folders.	
HR25	3.1.011	Insurance Enrollment		AC	4			AC = Insurance coverage end or termination, whichever is sooner			
HR26	15.1.004	International Student Records - Not Enrolled/Denied	This series documents institution assistance to international students who are considering attendance at the institution. Records may include but are not limited to: letters of inquiry from prospective students; official replies to inquiries; completed applications and admittance forms; local data sheets; advisory notes; and related documentation and correspondence.		2						



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HR27	15.1.003	International Student Records - Enrolled/Accepted	This series documents nonacademic institution assistance to international students who have been admitted to academic programs. These records primarily concern institution admissions, immigration issues, and other nonacademic matters.	AC	3			AC = Graduation or date of last attendance.		CAUTION: Must be retained at least one year after final notice to Immigration and Naturalization Service.	8 CFR 214.3(g), 22 CFR
HR28	12.2.001	International Scholars Program Administration Records	This series documents a program which allows one or more visiting scholars to assume residence on campus for an academic year or a shorter duration. This series may include but is not limited to: advertisements; applicant data; arrangements and schedules; publicity and news clippings; presentation transcripts or published works; scholars' vitae; scholars' activities documentation including audio recordings; and related documentation and correspondence.		3						22 CFR 62.10(h)
HR29	12.1.003	International Scholars Records - Immigrant Petition File	Includes documentation of an institution's sponsorship of an applicant using USCIS Form I-140 (Immigrant Petition for Alien Worker).	AC	5			AC = Date applicant granted lawful permanent residence by USCIS or no longer employed by the institution, whichever is earlier.			40 TAC 815.106(i)



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HR30	12.1.002	International Scholars Records - J-1 Exchange Visitor Files	This series documents the short-term appointment of nonimmigrant international scholars as visiting faculty, specialists, researchers, and trainees. Records may include but are not limited to: Form DS-2019, Certificate of Eligibility for Exchange Visitor (J-1) Status; descriptions of work to be performed; methods of financial support; copies of passports; check-in forms with personal data such as addresses, telephone numbers, and information concerning dependents; related correspondence, most often concerning eligibility of spouses and children to accompany or join the scholar; log sheets noting the nature of telephone calls concerning each scholar's status; and related documentation.	AC	3			AC = End of participation in program			22 CFR 62.10(h)
HR31	12.1.004	International Scholars Records - Labor Certification (PERM)	This series documents the application and approval of international scholars for permanent immigrant status. Records may include but are not limited to: Application for Permanent Employment Certifications (DOL Form ETA 9089); Application for Alien Employment Certification (DOL Form ETA 750); recruitment reports; copy of job advertisement in national professional journal; wage determinations; and related materials.	AC	5			AC = Date of filing the 'Application for Permanent Employment Certification' (Form ETA 9089)			20 CFR 656.10(f); 29 CFR 1602.49(a) for Employment Opportunity Announcements; 29 CFR 1602.49(a) for Employment Selection Records; 29 CFR 1602.49 for Applications for Employment - Not Hired



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HR32	12.1.005	International Scholars Records - Nonimmigrant Visa Petition File	Includes both internal documents and forms submitted to the U.S. Citizenship and Immigration Services (USCIS), including Form I-129, Petition for a Nonimmigrant Worker.	AC	1			AC = Date individual no longer employed by the institution in sponsored nonimmigrant status			
HR33	12.1.006	International Scholars Records - Nonimmigrant Visa Public Inspection File	This series documents the temporary employment of international exchange visitors (non-immigrants) by the institution and is used to monitor compliance with federal United States Citizenship and Immigration Services (USCIS) regulations. Includes Labor Condition Application (DOL Form 9035/9035E), wage rate documentation, benefits summaries, and related materials for H-1B, H-1B1, and E-3 visas.	AC	1			AC = Last date the institution employs an individual in H-1B nonimmigrant status under the Labor Condition Application for which the Public Inspection File was created or, if no non-immigrants were employed under the labor condition application, one year from the date the labor condition application expired or was withdrawn.			20 CFR 655.760(c)
HR34	3.1.023	Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	4			AC = Until superseded or job eliminated	O		29 CFR 1602.49
HR35	3.1.012	Job Opening Announcements			2						
HR36	3.4.001	Leave Adjustment Records	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						40 TAC 815.106(i)
HR37	3.4.007	Leave Records (Annual & Sick Leave)		FE	4						



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HR38	3.4.002	Leave Status Report	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	4						
HR39	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	
HR40	3.3.010	New Hire Analysis			3						
HR41	5.1.001	Optional Retirement Companies (Contracts)		AC	4			AC = Contract terminated			
HR42	3.1.031	Optional Retirement Program (Contributors)		AC	2			AC = Until superseded or termination of employment			
HR43	3.4.004	Overtime Authorizations			2						
HR44	3.2.008	Payroll Check Distribution Authorization		US							
HR45	4.3.003	Payroll Check Number List		FE	3						40 TAC 815.106(i)
HR46	3.2.002	Payroll Earnings Records			4						40 TAC 815.106(i).
HR47	4.2.002	Payroll Sign Sheets		FE	3						
HR48	4.3.003	Payroll Warrant Book		FE	3						
HR49	4.5.001	Payroll Worksheets		FE	3						29 CFR 1620.32(c)
HR50	3.1.019	Performance Appraisals			2						29 CFR 1602.49(a)
HR51	3.1.002	Personnel Action Forms			2						
HR52	3.1.020	Personnel Corrective Action Documents		AC	5			AC = Termination of corrective action			
HR53	3.1.021	Personnel Disciplinary Action Documents		AC	5			AC = Termination of employment			
HR54	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						



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HR55	3.3.015	Positions/Job Classification Review File	Records relating to review and monitoring of job classifications within a university.	US	3						
HR56	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							
HR57	3.1.034	Resumes - Unsolicited		AV							
HR58	4.3.002	Retiree Insurance Receipt Book		FE	3						
HR59	3.4.008	Sick Leave Pool Documentation	Requests submitted, approvals, number of hours transferred in and out, etc.	FE	3						
HR60	1.1.067	State & Federal Personnel Reports	Reports generated for various state and federal agencies.		3				O		
HR61	3.2.009	State Deferred Compensation		AC	5			AC = Distribution plan filed and distribution completed			29 CFR 1602.49(2) Personnel Actions
HR62	3.1.022	Student Employment Authorizations			2						40 TAC 815.106(i)
HR63	3.4.006	Student Monthly Time Records		FE	4						
HR64	4.5.001	Student Work Allocation		FE	3						
HR65	4.3.002	Summer Insurance ERS Member Payments		FE	3						
HR66	3.3.010	Termination Analysis			3						
HR67	3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the agency from TWC or its predecessor pertaining to employees.		3						



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HR68	12.3.001	Time Cards & Timesheets - Work-Study Students	This series documents hours worked by work-study student employees. The series is used for payroll purposes and to meet federal requirements for documenting time worked by work-study students. This series may include but is not limited to: Work-Study Time Certificates and referrals, time cards, and time sheets.	AC	3			AC = End of award year for which the aid was awarded and disbursed		Refer to RRS 3.4.006 for all other time cards and timesheets, including those of non-work-study student employees.	40 TAC 815.106(i)
HR69	3.4.006	Timesheets		FE	4						
HR70	3.1.027	Training Records	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			
HR71	3.2.007	Unemployment Compensation		AC	5			AC = Termination of employment			
HR72	3.3.011	Verification of State Service	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			
HR73	3.2.003	W-2 Forms		AC	4			AC = Tax due date, date the claim is filed, or date tax is paid whichever is later			26 CFR 31.6001-1(e)(2)
HR74	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			29 CFR 516.6(a)(2)
HR75	3.2.006	Wage Rate Tables			2						29 CFR 1904.33
HR76	5.4.001	Worker's Compensation Reports		CE	5					The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.	29 CFR 1602.32, 1602.39, 1602.41, 1602.48, & 1602.50



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<b>INSTITUTIONAL EFFECTIVENESS AND RESEARCH</b>											
IE01	3.3.031	EEO Reports (IPEDs)			3						
IE02	17.2.001	Professional Accreditation Records - Working Files	<p>This series documents the accreditation process for the colleges, units, and related programs. The series provides a record of materials compiled for inclusion in a report packet sent to the appropriate professional accreditation board for the specific program or service and usually includes statements on mission, finance, educational programs and departments/divisions make up. Most accreditation organizations produce an evaluation report based on the packet and on-site inspection, which is used to determine accreditation for the units and their programs. This series may include but is not limited to: statistical data; working papers; and related documentation and correspondence.</p>	AC				AC = End of two accreditation cycles			



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IE03	17.2.002	Professional Accreditation Reports	This series documents the accreditation process for the colleges, units, and related programs. The series provides a record of materials compiled for inclusion in a report packet sent to the appropriate professional accreditation board for the specific program or service and usually includes statements on mission, finance, educational programs and departments/divisions make up. Most accreditation organizations produce an evaluation report based on the packet and on-site inspection, which is used to determine accreditation for the units and their programs. This series may include but is not limited to: self-evaluation reports; final reports sent to accreditation organization; accreditation organization evaluation report; and related documentation and correspondence.	PM					O		
IE04	1.1.040	Reports & Papers - Conferences		AC				AC = End of term in office or termination of service	O		
IE05	1.1.067	Reports - Administrative			3				O		
IE06	1.1.065	Reports, Studies, and Survey - 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.	



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IE07	15.5.006	Statistical Reports	Annual statistical reports related to academic subjects, such as admissions reports, enrollment statistics, grades, graduates/degree statistics, racial/ethnic composition, and other education-related matters submitted to the governing body, state or federal agencies, or accrediting organizations.	PM					I		
IE08	11.1.012	Student & Alumni Surveys - Questionnaires		AC	3			AC = Final disposition of summary report			
<b>LIBRARY</b>											
LIB01	4.4.002	Accounts Receivable Ledgers		FE	3						
LIB02	16.2.001	Circulation Records	This series documents the borrowing of circulating library materials by qualified patrons. This series may include but is not limited to: the name and identification of the borrower; the titles of materials borrowed; the due date; overdue and fine payment notations; and related documentation and correspondence.	AC				AC = Transaction is completed		The disposal of circulation records needs not be documented through destruction authorizations (RRS 1.2.001) or in records disposition logs (RRS 1.2.010).	
LIB03	16.2.004	Community Borrower Records	Records documenting guest borrowers of library materials. Records may include guest borrower's name, address, telephone number, company or institution name, and patron status.	AC	1			AC = Termination of borrowing privileges and clearing of fines		CAUTION: If borrower application serves as an agreement between the borrower and the institution (e.g., to follow library rules), refer to RRS 5.1.001.	



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LIB04	16.2.002	Collection Control Records	This series documents the maintenance of materials which typically involve accessioning, cataloging, preserving, and/or referencing. This series may include but is not limited to: deeds of gift; appraisal reports (monetary or non-monetary); accession sheets; archives transmittal lists; accession reports; purchasing information; recommendations concerning deaccessioning of specific holdings and action upon those recommendations; and related documentation and correspondence.	PM						Refer to RRS 2.1.011 (Finding Aids, Indexes, and Tracking Systems) for archival finding aids.	
LIB05	4.2.004	Encumbrance Vouchers	Orders, statements, change orders, etc.	FE	3						
LIB06	16.2.005	Equipment Checkout Records	Records documenting the physical control of the library's lending program for equipment (e.g., laptops, tablets, cameras, etc.) to individual borrowers.	FE	3						
LIB07	4.7	Gifts/Donation Journals	Donations and gifts that are donated to the library and are considered assets	LA							
LIB08		Holdings - Statistics		US					O		
LIB09		Interlibrary Loan (ILL) Copyright Compliance Records			5						
LIB10	16.2.007	Interlibrary Loan (ILL) Records	This series documents requests made of the institutions within the university library system for materials by outside institutions and also institution requests for materials from other library systems. This series applies to circulating library resources only (not to archival, special collections or museum materials).	FE	3					CAUTION: Records Management Officers should ensure that ILL records maintained by third-party vendors are retained in accordance with this record series.	



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LIB11	4.5.002	Internal Fiscal Management Reports	Includes agency monthly budget reports.	FE	3						
LIB12	16.2.008	Library Catalog	Catalog of bibliographic records used as a guide to library holdings.	US						The disposal or supersession of library catalog records needs not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010).	
LIB13	16.2.009	Library Materials Control Records	Includes records of the acquisition and cataloging of library material.	AC				AC = Catalog updated		CAUTION: Does not include the library catalog.	
LIB14	5.2.017	Lost & Stolen Property Reports		FE	3						
LIB15	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 Records Management Division, Texas State Library.	
LIB16	16.2.012	Reference Request Records	This series documents requests for information about, or access to, items within the institution's collections. This series may include but is not limited to: reference request forms, general email correspondence, disposition of or time spent fulfilling the requests, call slips (also called pull slips), and related documentation and correspondence.	FE	3						
LIB17	1.1.067	Reports - Administrative			3				O		
LIB18	5.2.023	Year-to-Date Activity (Inventory Listing)		FE	3						
<b>LOBO DEN</b>											
LD01		Advising Files/Contacts		AC	1			AC = Graduation			



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LD02		Early Warning System		AC	1			AC = Graduation			
LD03	4.7.008	Federal Grant Records		AC	3			AC = Satisfaction of all uniform administrative requirements for grants and cooperative agreements to state and local governments			
LD04	15.2.026	Student Advising Records	This series includes records of academic advisement to students. Series may include advisors' notes, advising checklists, and convenience copies of grade records maintained by registrars.	AC	3			AC = Student separation from the department or institution			
LD05	18.2.022	Student Athlete Academic Advising	This series documents academic advising of prospective and current student athletes, provides records of academic progress while students are involved in athletic programs at the institution, and complies with NCAA, NAIA and conference reporting requirements. These records include: letters of intent; renewals of letters of intent; transcripts; grade reports; petitions; academic evaluations; advanced standing reports; advisors' report sheets showing progress towards academic degree; program planning sheets; NCAA Progress Reports; students' requests for release from athletic programs; disciplinary memoranda; and related correspondence.	AC	5			AC = Degree completed or date of last enrollment			



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LD06		Student Files		AC	3			AC = Satisfaction of all uniform administrative requirements for grants and cooperative agreements to state and local governments			
<b>MUSEUM</b>											
MU01	4.7	Accession Information		PM					I	Collection information.	
MU02	4.7	Artifact Documentation		PM					I		
MU03	16.2.002	Collection Control Records	This series documents the maintenance of materials which typically involve accessioning, cataloging, preserving, and/or referencing. This series may include but is not limited to: deeds of gift; appraisal reports (monetary or non-monetary); accession sheets; archives transmittal lists; accession reports; purchasing information; recommendations concerning deaccessioning of specific holdings and action upon those recommendations; and related documentation and correspondence.	PM						Refer to RRS 2.1.011 (Finding Aids, Indexes, and Tracking Systems) for archival finding aids.	
MU04	4.7	Collection Donation Records		PM					I	Museum donor information and gift contracts.	



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MU05	16.2.003	Collection or Artifact Loan Records	This series documents artifacts and material loans contracted between units of the institution or between the institution and either other institutions or individuals. These records include: signed and legally binding agreements for incoming and outgoing loans between the collection administrators; receipts for loans and return of materials to the legal holder; and related forms, documentation and correspondence.	AC	4			AC = Acceptance of return of items per contract terms		Upon expiration of the retention period, repositories should consider transferring loan records to the Collection Control Record (URRS-16.2.002) if they possess continuing reference or administrative value.	
MU06	16.2.006	Exhibit Records	This series documents the display and use of artifacts and materials held by the collection units or displays created by the units. This series may include artifact labels or placards, photographs of exhibits, planning documents, publicity materials, exhibit renderings, exhibit assembly and presentation instructions; and related documentation and correspondence.	AC				AC = Conclusion of exhibit	O	ARCHIVES NOTE: For museums, archival review and selection may be performed by museum curatorial staff. Materials pertaining to major exhibits may possess long-term historical value and may be retained either in the institutional archives or the museum unit, as appropriate.	
MU07	5.2	Gift Shop Merchandise Inventory		FE	3						
MU08	1.1.063	Meeting Minutes/Notes - Staff		AV							
MU09	4.3.002	Receipt Journals or Registers Donations		FE	3						
MU10	1.1.067	Reports - Committees		PM					I	West Texas Historic and Scientific Society (1926-1967)	
MU11	4.3.001	Sales Journals or Registers - Gift Shop		FE	3						



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Archival Codes (Field 10)

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					Years	Months	Days				
OIT01	2.1.001	Automated Files - Processing Files	Machine-readable files used in the creation, utilization, and updating of master files.	AC				AC = Completion of third update cycle or retention requirements for specific record category		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.	
OIT02	2.1.002	Automated Files - 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 third update cycle or retention requirements for specific record category		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.	
OIT03	5.5.001	Billing Detail - Telecommunications		FE	3						
OIT04	1.1.024	Data Processing 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 as a result of planning process		ARCHIVES NOTE: Data processing planning records are not archival.	
OIT05	5.4.013	Disaster Recovery Plan		US							
OIT06	5.5.007	Disputed Call Documentation		FE	3						
OIT07	16.5.008	Identification Card Administration Records	This series includes images, application forms, or similar records documenting the issuance of identification cards to university students, staff, or faculty.	AC				AC = Until superseded or expired.		CAUTION: For records documenting the issuance of keys, identification cards, or similar instruments of access to university facilities, refer to RRS 5.4.012.	Read 13 TAC 6.94





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PP05	16.3.005	Campus Fire Statistics - Fire Log	A written, easily understood fire log that records the nature, date, time and general location of fires occurring in on-campus student housing facilities. The Fire Log can be combined with the Crime Log for Clery Act reporting purposes.		7						34 CFR 668.49
PP06	16.3.006	Campus Fire Statistics - Fire Statistics	Statistics on the number of fires, the number of persons who received fire-related injuries, the number of deaths related to fire, and the property damage caused by fire for each on-campus student housing facility.		3						29 CFR 1910.1020(d) Health and Safety Code, Section 502.005(d)
PP07	14.1.001	Carcinogenic Compounds Research Use Records - Administrative	This series documents the administration of the use of hazardous carcinogenic compounds by institutional researchers. This series may contain but is not limited to: research protocols; applications for use of Class B & C chemical carcinogens; chemical carcinogen animal care requirement forms; lists of personnel involved in laboratory contact with chemical carcinogens; list of carcinogenic compounds to be used in the specific research project; project and departmental lists of chemical inventories; lists of persons involved in the research project; and related documentation and correspondence.	AC	30			AC = Separation from the university			29 CFR 1910.1020(d) Health and Safety Code, Section 502.005(d)
PP08	5.2.008	Equipment History File; Equipment Service Agreements	Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc.	LA	3					For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.	



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PP09	5.2.012	Estimate Files (Supply & Repair Cost Estimates)		AV							
PP10	5.4.003	Fire Inspection Records		AC	3			AC = Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency			TX Health and Safety Code 502.009(G)
PP11	5.4.008	Hazard Communication Plans		US	5						
PP12	5.4.003	Inspection Records (Utilities/Plumbing)		AC	3			AC = Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency		CAUTION: Does not include inspection reports of building construction. See item number 5.2.028.	
PP13	5.6.003	Inspection Repair & Maintenance Records - Vehicles		LA	1						
PP14	5.4.010	Material Safety Data Sheets		AC				AC = After sheets are updated or hazardous chemicals no longer stored by agency			
PP15	5.2.024	Material Specifications		AC	2			AC = Material is no longer in the agency			
PP16	5.6.005	Mileage Reports	Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	FE	3						
PP17	5.6.005	Operations Log - Vehicles		FE	3						Read 13 TAC 6.94



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PP18	2.1.009	Operating Systems and File 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 software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved		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.	
PP19		Radiation Safety Committee Records	This series documents the establishment of policy and procedure by the committee. Records include: agendas; minutes; reports; notes; working papers and related correspondence.	PM					O		
PP20	1.1.067	Reports - Administrative			3				O		



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PP21	1.1.065	Reports & Studies - 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.	
PP22	5.4.003	Safety Inspections		AC	3			AC = Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency			
PP23	5.4.012	Security Access Records (Key Logs, Signature Cards)	Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency or state facilities, equipment or automated systems.	AC	2			AC = Until superseded, date expired, or termination, whichever is sooner			
PP24	5.2.019	Service Order		AV							
PP25	5.2.020	Supply Usage Records		FE	1						
PP26	1.1.043	Training Materials	Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US	1						
PP27	3.1.027	Training Records	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			
PP28	5.2.022	Utility Reports		AV							
PP29	5.6.007	Vehicle Titles & Registrations		LA	1					LA = Vehicle no longer owned by the university	
PP30	3.3.020	Work Schedules/Assignments (On-Call)	Work, duty, shift, crew, or case schedules, rosters, or assignments.		2						



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PP31	5.4.009	Workplace Chemical Lists			30					TX Health and Safety Code 502.005(D)	
<b>POST OFFICE</b>											
PO01	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						
PO02	5.1	Forwarding Address Cards			1						
PO03	5.1.005	Interdepartmental Charges		FE	3						
PO04	5.1.004	Postal Box Cards		US							
PO05	5.1.005	Postage Meter Records		FE	3						
PO06	5.1.003	Receipts for Certified, Insured, Registered Mail (SRSU Forms 3849 & 3830-A)			2						
PO07	5.1	Record of Packages Received or Delivered		AV							
<b>PRESIDENT'S OFFICE</b>											
PRS01	5.1.004	Address & Telephone Listings		US							
PRS02	1.1.064	Agency Performance Measures Documentation	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE	3					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.	
PRS03	4.5.006	Annual Operating Budget		FE	3				O		



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PRS04	16.4.001	Alcoholic Beverage Control Records	This series is used to provide a record of annual and temporary event licensing for dispensing and serving alcoholic beverages. This series may include but is not limited to: alcohol use requests or waivers, applications for event licenses or permits, and related documentation and correspondence.	AC	3			AC = Date of event			
PRS05	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	<p>ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review.</p> <p>CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.</p>	



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PRS06	16.3.007	Campus Notifications	Emergency notifications distributed to the campus community regarding emergencies, evacuations, "timely warnings" related to public safety, and weather related instructions. Typical situations may include shelter in place directives, building evacuations, areas to avoid because of dangerous conditions, descriptions of suspects wanted in connection with criminal activities, notices of natural gas leaks, etc. Notifications may be sent via e-mail, text message, or other method. Note: emergency notifications may be rolled up into statistics for Clery Act reporting.		3				O		
PRS07	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.	
PRS08	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						
PRS09	4.7	Endowment Files		PM					O		
PRS10	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		



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PRS11	4.7.008	Federal Grant Information on File		AC	3			AC = Satisfaction of all uniform administrative requirements for grants and cooperative agreements to state and local governments			
PRS12	4.7	Gift/Donation Journals		PM					O		
PRS13	3.1.018	Grievance Records		AC	5			AC = Final decision on grievance (does not include complaints filed with the EEOC)			
PRS14	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	
PRS15	1.1.062	Meetings - Supporting Documentation	Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.		2				I	SEE caution comment at item number 1.1.058.	



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PRS16	1.1.058	Meeting Minutes and Agendas	Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.	PM					I	ARCHIVES NOTE: Agency retains permanent record copy.  CAUTION: This records series and item numbers 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.	
PRS17	1.1.023	Organization Charts		US					I		
PRS18	1.1.024	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 result of planning process	O		
PRS19	1.1.020	Public Information Request - 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			



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PRS20	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			
PRS21	1.1.066	Reports - Annual & Biennial Agency (Non-Fiscal)	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 years	I	Archival requirement met by sending copies to the Texas State Publications Depository Program, Texas State Library	
PRS22	1.1.040	Reports and Papers - Conference		AC				AC = End of term in office or termination of service	O		
PRS23	1.1.067	Reports & Studies	Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.		3				O		
PRS24	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 years			
PRS25	1.1.040	Speeches		AC				AC = End of term in office or termination of service	O		
PRS26	1.1.055	Strategic Plans	Information resources and operational strategic plans prepared in accordance with 2054.095 and 2056.002, Government Code.	AC	6			AC = September 1 of odd-numbered years	I	Archival requirement met by sending copies to the Texas State Publications Depository Program, Texas State Library	



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PRS27	11.1.013	Subject Files - Executive	This series documents the executive actions of a state university. The series includes information in the form of correspondence and memoranda, policy statements, organization and program development records, reports concerning accreditation requirements, budget material, faculty and student relations, personnel matters, tenure and salary issues, physical plant development, grant awards, research programs, foundation endowments, fiscal accountability, academic requirements, student athletic issues, and other related topics. These records reflect administration of policies, coordination of institution functions, and overall management of major divisions and departments of a state university.		4				I		
PRS28	1.1.041	Suggestion System	Suggestions submitted by agency personnel and responses.		1						
<b>PRINT SHOP</b>											
PR01	4.3.002	Receipt Journals or Registers		FE	3						
PR02	4.3.001	Sales Journals or Registers		FE	3						
<b>PURCHASING</b>											
PU01	5.3.007	Bid Documentation	Includes bid requisition/authorization, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tubulation/evaluations. Associated with a contract executed, renewed, or amended on or after September 1, 2015.	AC	7			AC= Expiration or termination of the instrument according to its terms or decision not to proceed with the bid			



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PU02	5.3.007	Bid Documentation	Includes bid requisition/authorization, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tubulation/evaluations. Unsuccessful bid 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.			
PU03	5.5.002	Electronic Transfers		AV							
PU04	5.3.008	Purchasing Log	Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE	3						
PU05	4.2.005	Purchase Vouchers	Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	3						
<b>RESIDENTIAL LIVING</b>											
RL01	5.1.001	Contracts & Leases	Executed, renewed, or amended on or before August 31, 2015.	AC	7			AC = Contract or lease expired			
RL02	5.2.009	Equipment Inventory Detail Report Form	Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE	3						
RL03	16.4.003	Student Housing Applications	Applications and selection decision documentation for applications that do not result in occupancy. May also include consumer reports and authorizations to obtain credit information. For applications that do result in occupancy, refer to URRS-239.	AC	1			AC = End of application term			



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RL04	16.4.004	Student Housing Judicial Record	This series provides a record of the disposition of appeals made by residents who violated housing policies and were assessed penalties for failing to follow terms of their housing or food service contracts. Typical records include: students' appeals stating their reasons for seeking modification of contract terms; decisions from the director of housing, including instructions for further appeal if students have additional relevant information and desire to proceed; and related documentation and correspondence.	AC	4			AC = Expiration of contract or resolution of incident, whichever is later		CAUTION: Refer to URRS-228 for incidents referred to law enforcement. Refer to URRS-303 for incidents that result in disciplinary action.	
RL05	16.4.005	Student Housing Tenant Records	This series provides a record of occupancy in all institution administered housing -- residence halls, family housing, or cooperative housing. This series may include but is not limited to: housing applications and contracts; proof of admission records; and related documentation and correspondence.	AC	4			AC = End of student's occupancy or, for contracts, expiration of contract			
<b>SMALL BUSINESS DEVELOPMENT CENTER</b>											
SB01		Client Records		FE	3			AC = Competition of project			
SB02	4.7.008	Federal Grant Records		AC	3			AC = Satisfaction of all uniform administrative requirements for grants and cooperative agreements to state and local governments			
SB03		Small Business Administration Reports			10						
<b>STUDENT HEALTH SERVICES</b>											



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SH01	16.1.006	Communicable Disease Records	This series fulfills the public health requirement of reporting the discovery of communicable disease. This series may include but is not limited to: laboratory test results; name and address of patient; date; and person making referral. Information is transferred to the county health department, but the log is maintained by the laboratory.		3						
SH02	16.1.009	Disclosure of Protected Health Information	This records series documents disclosure of Protected Health Information (PHI) in accordance with the Health Information Portability and Accountability Act compliance regulations.	FE	6						
SH03	16.1.016	Health Assessment	This series documents provision of health-related services, for example: cholesterol screening, blood pressure testing, etc. This series may include but is not limited to: tests; goals and objectives; diagnostic reports; questionnaires; permission to forward the information to the patient's primary care physician, and related data.		2						
SH04	16.1.017	Health Related Services - Denied or Not Seen	This records series documents instances where outpatients are referred to the institution by non-institutional practitioners who are denied health-related services or who are not seen by the institution.	AV							
SH05	16.1.018	Immunization Record and Consent Forms	Signed consent forms and records noting the type of immunization performed which are not included in the patient's medical record.	AC				AC = Once vaccination records are received by Health Services or Admissions		CAUTION: For immunization reports required by the Texas Education Code and the Texas Health and Safety Code please follow RRS 1.1.007	



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SH06	5.1.013	Insurance Policies		AC	4			AC = Policy terminated		Government code. 441.1855	
SH07	16.1.024	Medical Logs	This series is used to log in patients who visit the health institution (both in-patients and out-patients). It may also be used to create annual census reports and 3-year census comparisons. Log information may include but is not limited to: the date and time that the patient came in; appointment; admission; transport; dispatch; the physician assigned; diagnosis; discharge; patient photo; patient service; length of stay; equipment freezer; master schedule sheets; expired drug disposal; and remarks.		3						



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SH08	16.1.025	Medical Record	written interpretations of all significant clinical information gathered for a given patient, whether as an inpatient, outpatient, or emergency care patient. May include but is not limited to: reason for the encounter and relevant history, physical examination findings and prior diagnostic test results; an assessment, clinical impression, or diagnosis; plan for care (including discharge plan if appropriate); the date and legible identity of the observer; past and present diagnoses; the rationale for and results of diagnostic and other ancillary services; the patient's progress, including response to treatment, change in diagnosis, and patient's non-compliance; relevant risk factors; written consents for treatment or surgery requested from the patient/family by the physician; salient records received from another physician or health care provider involved in the care or treatment of the patient; written interpretations of source data; and a written plan for care. The written plan for care should include when appropriate: treatments and medications (prescriptions and samples) specifying amount, frequency, number of refills, and dosage; any referrals and consultations; patient/family education; and, specific	AC	7			AC = Date of last service or retain until patient reaches age 21, whichever is longer		CAUTION: For psychological and psychiatric case records, refer to URRS-181. For medical records at a student health center, refer to URRS-191.	



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SH09	16.1.026	Medical Records - Student Health Clinic	written interpretations of all significant clinical information gathered for a given patient, whether as an inpatient, outpatient, or emergency care patient. May include but is not limited to: reason for the encounter and relevant history, physical examination findings and prior diagnostic test results; an assessment, clinical impression, or diagnosis; plan for care (including discharge plan if appropriate); the date and legible identity of the observer; past and present diagnoses; the rationale for and results of diagnostic and other ancillary services; the patient's progress, including response to treatment, change in diagnosis, and patient's non-compliance; relevant risk factors; written consents for treatment or surgery requested from the patient/family by the physician; salient records received from another physician or health care provider involved in the care or treatment of the patient; written interpretations of source data; and a written plan for care. The written plan for care should include when appropriate: treatments and medications (prescriptions and samples) specifying amount, frequency, number of refills, and dosage; any referrals and consultations; patient/family education; and, specific	AC	7			AC = Date of last service or retain until patient reaches age 21, whichever is longer			20 TAC 165.1(b)



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SH10	16.1.035	Quality Assurance Records/Health Services	This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections; reports by the staff; quality assurance committee notes; Morbidity & Mortality (M&M) conferences for residents, staff reviews and related correspondence.	FE	3						
SH11	16.1.039	Student Health History Forms	This series documents a student's medical history. The series contains student medical history forms for students who have never visited an institution's student health center and therefore do not have a medical record on file. These forms are a prerequisite for enrollment at most institutions.	AC	3			AC = Graduation or date of last attendance			
SH12	16.1.040	Student Health Insurance Records	University copies of information relating to the selection by students of health insurance offered to students through the university.	AC	4			AC = Until superseded or date of last attendance			
SH13		Student Medical Records		AC	7			AC = Last date on which service was given			TX Administrative Code, Title 22, Part 9, Chapter 165, Rule 165.1
<b>STUDENT LIFE</b>											
SL01		Applications - Freshman Leadership Program			5						



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SL02	15.5.007	Student Conduct Records/Disciplinary Action Records	This series documents academic dishonesty and conduct violations among students. Records may include but are not limited to: incidents reports; final reports; evidence; notification of allegation; disciplinary reports; informal discussion notes; formal hearing notes; final summary statements; decision statements; appeals documentation; and related documentation and correspondence.	AC	5			AC = Graduation or date of last attendance			
SL03		Student Trip Waiver			1						
<b>UNIVERSITY DEPARTMENT OF PUBLIC SAFETY</b>											
UDP01	16.3.002	Arrest Reports	Arrest report and fingerprints on each person arrested and charged with a felony or a misdemeanor not punishable by fine only. Report includes the name (including aliases), date of birth, and physical description of the offender; the name of the arresting agency; the arrest charge and whether it is a felony or a misdemeanor; the date of arrest; and the date and exact disposition of the case by the agency.		75					May be destroyed upon date of the detail of individual, if known. CAUTION: If the arrest report does not provide the information listed in the record description, documents from offense investigation records (see URRS-232) sufficient to provide the information must be retained 75 years or until date of death of the individual.	
UDP02	16.3.007	Campus Notifications	Reports concerning suspicious incidents or complaints that, after investigation, did not appear to have involved the commission of a crime. Records may include: incident reports		3						



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UDP03	16.3.027	Campus Security & Incident Reports	Reports concerning suspicious incidents or complaints that, after investigation, did not appear to have involved the commission of a crime. Records may include: incident reports containing names, dates, case numbers, dollar values, locations, descriptions of incident, and personnel taking report; identification cards created when reports of suspicious behavior are made to the office; warnings records; notes; and related documentation. Information may be exempt from public disclosure.		3						20 U.S.C. 1092(f)
UDP04	16.3.008	Chemical Breath Test Records	Logs, test records, operational check lists, and similar records relating to the administration of chemical breath tests.		2						
UDP05	16.3.009	Child Abuse Reports	Copies of child abuse reports received by a law enforcement agency pursuant to Family Code, Sections 261.103 and 261.105, which do not become part of arrest and offense investigation records.		3						
UDP06	16.3.010	Clery Act Reporting - Annual Security Report	Annual security report created pursuant to the Clery Act.		7				O	NOTE: This record may possess ongoing administrative value to the creating department for research purposes.	20 USC §1092(g); 34 CFR §668.46
UDP07	16.3.011	Clery Act Reporting - Crime Log	A written, easily understood crime log that records the nature, date, time, general location, and disposition of the complaint (if known) of crimes investigated by campus police.		7						20 USC §1092(f); 34 CFR §668.46



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UDP08	16.3.012	Clery Act Reporting - Crime Statistics	Statistics on criminal homicide; sex offenses; robbery; aggravated assault; burglary; motor vehicle theft; arson; and arrests for liquor law violations, drug law violations and illegal weapons possession. Includes crimes occurring on campus, in or on noncampus buildings or property, and on public property as defined by 34 CFR, Section 668.46(a) (the Clery Act).		3						20 USC §1092(f); 34 CFR §668.46
UDP09	16.3.013	Clery Act Reporting - Emergency Response & Evacuation Procedures	Policies developed to provide warning to students and employees of crimes representing a threat to safety, as required by the Clery Act.	AC	7			AC = Until superseded, expired, or discontinued			20 USC §1092(f); 34 CFR §668.46(g)
UDP10	16.3.014	Communication Logs	Records of internal communications, including telephone and radio logs.		1						



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UDP11	16.3.015	Criminal Intelligence and Analysis Files	Information compiled by a law enforcement agency pursuant to Chapter 61, Code of Criminal Procedure, concerning criminal combinations or criminal street gangs must be destroyed after 3 years if: (1) the information relates to the investigation or prosecution of criminal activity engaged in by an individual other than a child; and (2) the individual to whom the information relates has not been charged with criminal activity. In determining whether information is required to be removed, the three-year period does not include any period during which the individual who is the subject of the information is confined in the institutional division or the state jail division of the Texas Department of Criminal Justice.	AV						Information compiled by a law enforcement agency pursuant to Chapter 61, Code of Criminal Procedure, concerning criminal combinations or criminal street gangs must be destroyed after 3 years if:  (1) the information relates to the investigation or prosecution of criminal activity engaged in by an individual other than a child; and  (2) the individual to whom the information relates has not been charged with criminal activity.  In determining whether information is required to be removed, the three-year period does not include any period during which the individual who is the subject of the information is confined in the institutional division or the state jail division of the Texas Department of Criminal Justice.	By law - Art. 61.06(b), Code of Criminal Procedure.



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UDP12	16.3.016	Daily Bulletins	Routine informational communication for officers and personnel on duty, issued daily (or as often as needed). Content may include the Daily Blotter, Daily Crime and Fire Log, and/or "be on the lookout for" (BOLO) notifications. May also include weather advisories for officers.		1						
UDP13	16.3.022	Dating & Family Violence Reports	Dating and family violence reports that do not become a part of arrest or offense investigation records. Includes reports of violence between roommates.		3					(1) the information relates to the investigation or prosecution of criminal activity engaged in by an individual other than a child; and	
UDP14	3.1.026	Department of Public Safety (Austin) Criminal Record Checks	Criminal history record information on job applicants or agency employees.	AC				AC = Criminal history has served immediate purpose for which it was obtained			
UDP15	1.1.069	Daily Activity Logs	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					(2) the individual to whom the information relates has not been charged with criminal activity.	
UDP16	16.3.018	Dispatch Reports	Record created by dispatcher on each call for service documenting the dispatch of a campus police officer to investigate a disturbance or possible crime on the institution's campus. Includes date and time call received, nature of call, and details of action taken in response to call.		2				0		



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UDP17	16.3.019	Emergency Protective Order Lists	Periodic lists of persons under protective orders.	US						In determining whether information is required to be removed, the three-year period does not include any period during which the individual who is the subject of the information is confined in the institutional division or the state jail division of the Texas Department of Criminal Justice.	
UDP18	16.3.020	Emergency Protective Orders - Issued by Magistrate Pursuant to Family Code CH. 85	Emergency protective orders issued by magistrates pursuant to Chapter 85 of the Family Code.	AC				AC = Period that the order is effective or 2 years after order issued, whichever later			Family Code, §85.025
UDP19	16.3.021	Emergency Protective Orders - Issued Pursuant to Code of Criminal Procedure	Emergency protective orders issued by magistrates pursuant to Article 17.292(a), (b)(1), or (b)(2), Code of Criminal Procedure. This series is for protective orders issued on the magistrate's own motion or on the request of the victim of the offense, the guardian of the victim, a peace officer, or the attorney representing the state; or a protective order issued after the arrest for an offense involving family violence, if the offense involved serious bodily injury to the victim or in which the arrest is for an offense that involved the use or exhibition of a deadly weapon during the commission of an assault.	AC				AC = Period that the order is effective			Code of Criminal Procedure, Article 17.92(i)



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UDP20	3.3.026	Employee Listings	Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name, staff hired during a month, detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US	3						
UDP21	5.4.002	Evacuation Plans	Plans for evacuation of university facilities in cases of emergency.	US							
UDP22	16.3.023	Field Interrogation Reports	Reports on persons stopped and interrogated in the field because of suspicious behavior.	AV							
UDP23	16.3.024	Fingerprint Records	Fingerprint records maintained in paper or on automated systems of missing persons, suspects, known offenders, incarcerated persons, etc.	AV						Fingerprint records of persons arrested for offenses other than Class C misdemeanors must be retained 75 years or until date of death of individual, if known by the arresting agency. See item number URRS-233. For fingerprints collected during an investigation, please refer to Offense Records: URRS-232, URRS-390, and URRS-391.	
UDP24	16.3.025	Fire Alarm & Drill Records	This series documents response to any alarm that is activated on campus. This series may include but is not limited to the following information: when and where the incident occurred; specific response; reset time; and rewind time, if appropriate.		3						



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UDP25	16.3.026	GPS Tracking Records	Global Positioning System (GPS) data used to track locations of police vehicles				30			CAUTION: If the GPS data is used to establish the location of a police vehicle as part of an investigation, they should be retained with the investigation case file.	
UDP26	5.4.008	Hazard Communication Plans		US	5						TX Health and Safety Code §502.009(G)
UDP27	5.4.007	Hazardous Materials Training Records	Records of training given employees in an agency hazard communications program.		5						TX Health and Safety Code §502.009(G)
UDP28		Incident Reports			2						
UDP29	16.3.029	Internal Affairs Investigation Records - Death/Injury	Records documenting the initiation, investigation, and disposition of internal affairs investigations of alleged misconduct by law enforcement officers. Includes records of investigation of law enforcement shooting incidents which result in death or injury to any person, including a police officer.	PM							
UDP30	16.3.030	Internal Affairs Investigation Records - Formal Discipline	Records documenting the initiation, investigation, and disposition of internal affairs investigations of alleged misconduct by law enforcement officers. Includes records of investigations that result in sustained formal discipline (i.e., disciplinary action at or above the level of a written reprimand).	AC	15			AC = Completion of investigation			



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UDP31	16.3.031	Internal Affairs Investigation Records - Informal Discipline/Inconclusive	Records documenting the initiation, investigation, and disposition of internal affairs investigations of alleged misconduct by law enforcement officers. Includes records of investigations that result in sustained informal discipline (i.e., disciplinary action below the level of a written reprimand) or of investigations whose findings are inconclusive.	AC	5			AC = Completion of investigation		CAUTION NOTE: A 1-year infraction-free period must precede the date of destruction	
UDP32	16.3.032	Internal Affairs Investigation Records - Unfounded/Not Sustained	Records documenting the initiation, investigation, and disposition of internal affairs investigations of alleged misconduct by law enforcement officers. Includes records of investigations whose findings are not sustained, or in cases where accusations are determined to be unfounded or the accused is exonerated.	AC	3			AC = Completion of the investigation		CAUTION NOTE: A 1-year infraction-free period must precede the date of destruction	
UDP33	5.4.012	Key Requests		AC	2			AC = Until superseded, date expired, or termination, whichever is sooner			
UDP34	16.3.028	Law Enforcement Information Dissemination, Inquiry, & Receipt Records	Reports, logs, and other records pertinent to documenting the dissemination and receipt of criminal histories and dissemination of other information to law enforcement or other agencies through crime information networks (e.g., TCIC, NCIC). Includes records of the dissemination of information other than criminal histories (e.g., missing persons, stolen property) and records of inquiries for and the receipt of information, including criminal histories.	AV						CAUTION: Departments other than campus law enforcement should refer to 3.1.026 for criminal history checks.	



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UDP35	5.4.010	Material Safety Data Sheets		AC				AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable			Heath and Safety code, §502.005(d)
UDP36	16.3.033	Missing and Unidentified Persons Files	Reports on missing children and adults, requests for investigation, photographs, fingerprints, dental records, x-rays, notifications of possible match, and similar documents relating to the location of missing children and adults, including similar records relating to unidentified bodies.	AC	3			AC = Date person located or body identified			
UDP37	5.6	Motor Vehicle Accident Reports			2						Public Safety Accident Reports PS4150-01 (DWI 2nd or 3rd degree felonies retention 10 years PS4125-05(b))
UDP38	5.6	Moving or Parking Citations	Reports on missing children and adults, requests for investigation, photographs, fingerprints, dental records, x-rays, notifications of possible match, and similar documents relating to the location of missing children and adults, including similar records relating to unidentified bodies.	FE	3					Parking and moving ticket records including fines.	



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UDP39	16.3.037	Offense Records - 1st Degree & Capital Felonies	<p>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.</p> <p>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.</p>		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.	



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					Years	Months	Days				
UDP40	16.3.038	Offense Records - 2nd & 3rd Degree Felonies & 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.	



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UDP41	16.3.035	Offense Records - Class A & B Misdemeanors & Felonies	<p>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.</p> <p>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.</p>		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.	
UDP42	16.3.036	Offense Records - Class C Misdemeanors	<p>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.</p>			6					



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UDP43	16.3.039	Parking Citation Records	This series documents the regulation of on-campus parking. This series may include but is not limited to: citations; appeal petitions; and related documentation and correspondence.	AC	3			AC = Resolution			
UDP44	16.3.040	Parking Permit Records	This series documents the issuance of permits for on-campus parking. This series may include but is not limited to: annual permit cards; temporary permits; parking permits reports; and related documentation and correspondence.	AC	3			AC = Until superseded or permit expired			
UDP45	5.4.012	Picture Identification Cards with ID No. and Name of Faculty/Staff and Students		AC	2			AC = Until superseded, date of expiration, or date of termination, whichever is sooner			
UDP46	16.3.042	Police Activity Logs or Dockets	Logs or equivalent records, usually arranged chronologically or by case, court, or citation number, providing summary data on complaints investigated by law enforcement officers, arrests made, citations issued, accidents investigated, court arraignments, court appearances by officers, and similar activities relating to the arrest or citation of persons or the investigation of offenses.		2				O	ARCHIVES NOTE: Archival review required only if logs or dockets are kept in a bound volume.	



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UDP47	16.3.044	Police Audiovisual Recording - Class C/Not Charged	Audiovisual recordings, including those from police vehicles, body worn cameras, or digital cameras, of persons detained for possible DWI or other violations. Includes recordings of persons on whom either a Class C misdemeanor charge is filed, or on whom no charges are filed.	AC			90	AC = Date of stop		CAUTION: A recording created with a body worn camera and documenting an incident that involves the use of deadly force by a peace officer or that is otherwise related to an administrative or criminal investigation of an officer may not be deleted, destroyed, or released to the public until all criminal matters have been finally adjudicated and all related administrative investigations have concluded. The disposal of police audiovisual recordings need not be documented on a disposition log, but institutions should establish procedures governing disposal of these records as part of its records management plan.	



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UDP48	16.3.045	Police Audiovisual Recordings - Offense Greater than Class C	Audiovisual recordings, including those from police vehicles, body worn cameras, or digital cameras, of persons detained for possible DWI or other violations. Includes recordings of persons on whom either a Class C misdemeanor charge is filed, or on whom no charges are filed.	AC				AC = 30 days after entry of final judgement in the case, or 90 days after date of stop, whichever is later		CAUTION: A recording created with a body worn camera and documenting an incident that involves the use of deadly force by a peace officer or that is otherwise related to an administrative or criminal investigation of an officer may not be deleted, destroyed, or released to the public until all criminal matters have been finally adjudicated and all related administrative investigations have concluded. The disposal of police audiovisual recordings need not be documented on a disposition log, but institutions should establish procedures governing disposal of these records as part of its records management plan.	Code of Criminal Procedure, art. 2.135-2(b)
UDP49	16.3.047	Rap Sheets	Copies of rap sheets received from the Texas Department of Public Safety or other law enforcement agencies.	AV							
UDP50	5.4.003	Safety Inspection Records		AC	3			AC = Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency			



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UDP51	16.3.048	Special Watch Records	Informational forms or lists provided to officers for campus areas, buildings, or residences needing special watch, including requests from the public for such watches.	AV							
UDP52	16.3.049	Surveillance Videos	Video surveillance for, but not limited to, security of property and persons.	AV						CAUTION: If the surveillance video is needed as part of an investigation it should be retained with the investigation file. The disposal or overwriting of surveillance videos needs not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010).	
UDP53	5.6.009	Vehicle Parking Permits		US						Campus Parking Decals	
UDP54	16.3.050	Wanted Persons Files	Records received on persons wanted by other law enforcement agencies.	AV							
UDP55	16.3.051	Warning Citations	Warning citations issued for violations of motor vehicle laws or for those violations of the penal code (e.g., criminal trespass) in which the issuance of warning citations is customary.	AV							
UDP56	16.3.052	Weapons Records - Disposition	Records documenting the disposition of police weapons, including but not limited to buy-back programs and trade-ins and upgrades with vendors.		3						
UDP57	16.3.053	Weapons Records - Inspection and Repair	Records of inspection and repair of weapons.	LA							
UDP58	16.3.054	Weapons Records - Inventory	Inventories of weapons.	US	3						



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UDP69	16.3.055	Weapons Records - Issuance	Logs for issuing weapons, such as guns and tasers, to officers.	AC	3			AC = Return of weapon			
<b>UNIVERSITY CENTER</b>											
UC01		Conferences/Meetings/Camp s		FE	3					Rental of space and conference set up records.	
UC02	11.1.006	Event Administration Records - Routine	This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; customer evaluations; summary reports; and related correspondence.	AC	1			AC = Completion of the event			
UC03	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						
UC04		Game Room		FE	3						
UC05	11.1.010	Permits and Licenses	Records documenting the application for and the issuance of permits and licenses by the institution for sales, solicitation, facility usage, and similar activities.	AC	2			AC = Expiration, cancellation, revocation, or denial		CAUTION: Does not include parking permits. Refer to RRS 5.6.009.	
UC06	17.1.015	Space Deficit/Allocation Records	This series includes documents used to determine the university's space deficit for purposes of the legislative allocation of funds to universities.	AC	6			AC = September 1 of odd-numbered calendar years.		CAUTION: For records relating to the reservation of rooms for classes and events, refer to RRS 5.2.026 for faculties reservation logs.	



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UC07	18.1.003	Student Organization Administrative Records	This series documents the history, development, and policies of campus student organizations. Records may include but are not limited to: constitutions and bylaws; publications (websites, newsletters, fliers, brochures, posters, and other publications); annual review forms; annual reports; meeting minutes and supporting documentation; committee, subcommittee, and task-force records; Student Senate bill and resolution files; budgets; handbooks; officer and member rosters; scrapbooks; photographs; press releases; clippings; social media accounts; and related documentation and correspondence (including email) that documents programs, activities, and events.	AV					I	CAUTION: Faculty sponsors of student organizations should remind students that many of the electronic records they create for the organization are records that must be retained and then transferred to the University Archives, and that students must take care to retain these records in whatever manner the University decides is best.	

**UNIVERSITY WIDE**



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UW01	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	<p>ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review.</p> <p>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.</p>	
UW02	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.	



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UW03	11.1.008	External Committee Records	This series documents the relationship and participation of institution units in external professional and educational associations and other organizations. The unit's role may be one of membership on the advisory or administrative board, participation in a task force or subcommittee, or one of membership in consortia. This series may include but is not limited to: promotional information; rules and regulations; reports; proposals and planning records; workshop and conference records; surveys and questionnaires; minutes; and related documentation and correspondence.	AC				AC = Termination of service on committee, disbanding of committee, or records of committee no longer administratively valuable to the agency			
UW04	18.3.001	Faculty and Staff Election Records	This series documents elections held by various faculty and staff organizations. This series may include but is not limited to: ballots; tabulations; and related documentation.	AC				AC = Results are verified			
UW05	1.1.070	Policies and Procedures Manuals	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, polices, or procedures	O		



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UW06	1.1.071	Policies and Procedures Manuals - 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, polices, or procedures	0		



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UW07	1.1.057	Transitory Information	<p>Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series.</p> <p>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; telephone message notifications; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.</p>	AC				AC = Purpose of record has been fulfilled		<p>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.</p> <p>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).</p>	



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UW08	11.1.015	University Committee Records	This series documents the activities of standing and ad hoc committees and councils made up of members from a variety of units. The committees are charged with formulating and recommending institutional policies and procedures, establishing standards and requirements, performing an advisory function, or reviewing petitions, appeals, and deviations from policy. Types of committees include administrative committees (those appointed by an administrator) and faculty senate committees (those created by the faculty senate's executive committee). They may function as steering committees, activities committees, standards committees, planning committees, academic committees, awards committees, councils, etc. Committees may be chaired by the director of a specific unit or rotate to different chairs on a regular basis. This series may include but is not limited to: agendas; meeting minutes; reports; notes; working papers; and related documentation and correspondence.		3				O	CAUTION: Federal or state regulations may require longer retention periods. The university must consider any applicable federal or state regulations in establishing a retention period for each committee's records	



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UW09	11.1.016	University and Academic Leadership Meeting Records	This series documents the meetings of the faculty and/or staff of a college, department, or office that sets policy and procedures for the unit. Participants at meetings may be composed exclusively of a mixture of faculty, staff, administrators, and managers; specialized and task oriented sub-committees composed of unit personnel are also documented as part of this record series. These meetings may concern routine matters of procedure and topics such as program development, planning, administrative and personnel management, and assessments of future needs. This series may include but is not limited to: official meeting notes/minutes; reports; and agendas.		4				O		