

September 15, 2020



Mr. Steven Hill
Director of Institutional Compliance
UNT System Compliance Office
Room 135E Hurley Administration Building
1155 Union Circle #311699
Denton, TX 76203-5017

Dear Mr. Hill,

Your agency's records retention schedule is approved for use as of **8/31/2020**, 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 Please ensure that all old copies of the schedule are superseded with this certified copy.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 according to a timeline established by the Texas State Library and Archives Commission. Your next recertification is scheduled for **August 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:

Bonnie Zuber
bzuber@tsl.texas.gov
512-463-3178

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.

Sincerely,

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

Craig Kelso
Director and State Records Administrator

cc: Agency head

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

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TSLAC

Preserving yesterday
Informing today
Inspiring tomorrow

CAUTION

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

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

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

State and Local Records Management Division
Texas State Library and Archives Commission
(Rev. 7/20)





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 769

Agency Name University of North Texas

(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 Steven A. Hill

Name (Print or type) Steven A. Hill, Director, Business Dev.

Date 5/27/19

Section 2. Approvals

(Submitting agencies do not write in this section)

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

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

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

Signature, Name, Date fields with handwritten entries: Gloria Merz, Gloria Merz, 8-31-2020

Cert/Recert No. 10 Amendment No.



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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
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 US – Until Superseded

Archival Codes (Field 10)

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

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
1	1.1	Academic Program Request Appraisal and Review Records	A record of periodic departmental self-evaluation and assessment by an external site visit team to determine departmental strengths and weaknesses. The record series may or may not include the following: self-study report, final report of site visit team, review schedule, department strategic plans, and supporting documentation.	PM					I		



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6	1.1	Professional Accreditation Records - Working Files	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.	AC				AC = End of 2 accreditation cycles.	O	Records kept according to accrediting organizations. URRS-274	



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15	1.1	Disclosure of Campus Security Policy, Crime Statistics and Fire Safety Statistics	Records to be kept include, copies of crime reports; the daily crime logs; fire logs; records for arrests and referrals for disciplinary action; timely warning and emergency notification reports; documentation, such as letters to and from local police having to do with Clery Act compliance; letters to and from Campus Security Authorities; correspondence with the Department of Education regarding Clery Act compliance; maps outlining Clery geography; list of property owned or controlled by UNT and/or recognized student organizations; copies of notices to students and employees about the availability of the annual security report; and any other documentation needed to meet the requirement for disclosure of campus security, crime statistics, and fire safety statistics.	AC	7			AC = Until superseded, expired, or discontinued.		This record item is based on the U.S. Department of Education guidelines (The Handbook for Campus Safety and Security Reporting). Record retention changes should follow that guidance. URRS-223, URRS-224, URRS-225	20 USC 1092(f), 34 CFR 668.46



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29	1.1	Disclosure of Campus Security Policy, Crime Statistics and Fire Safety Statistics Report (Annual Security Report)		PM					I	URRS-226	20 USC 1092(f), 34 CFR 668.46.
33	1.1	Broadcasts		AV					I	SEE 18.1.001 for Daily Broadcast Logs	
51	1.1	Client Records - From Institutes		AV							
67	1.1	Curriculum Change Records		AV					I	URRS-131	
83	1.1	Committee Election and Appointment Records	This series documents the appointment to and the election of faculty to committees. The series may include but is not limited to: ballots; tabulation; letters of appointment, committee membership rosters, and related documentation and correspondence.	AC			60	AC=After election		URRS-338	
142	1.1	Investigation Records - Other than Police		AV							



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199	1.1	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					URRS-485	
211	1.1	Quality Assurance Reviews		AV						SEE RRS 1.1 Quality Assurance Records/Health Services	
226	1.1	Reports - Faculty Semester Workload			10						
248	1.1	Research Data		PM						Confidential until published. URRS-281	
322	1.1	Textbook Adoption Records			3						



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374	1.1	Deeds and Other Legal Documents Reflecting Legal Title	This record series consist of property deeds. The series may include but is not limited to: appraisals, surveys, descriptions of property, the names of grantors and grantees, mortgagors and mortgagees, and other supporting documents. The series may also document institution ownership of vehicles such as cars, vans, trucks, trailers, boats, track tours, and farm vehicles.	LA						SEE RRS 5.2.001	
376	1.1.067	Reports and Studies – Special Activity	This series documents the activities of the University department. Examples may include the completion of surveys and questionnaires, compile a show special studies for professional or academic associations, and special mailings. This series may include but is not limited to: arrangements documentation; working papers; questionnaires; survey forms; study designs; reports; and related documentation and correspondence.		10				O	ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention.	



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379	1.1	Safe Combination Records		US							
384	1.1	Annual Reports from Foundations or from Other State Agencies		AV							
385	1.1	Compliance Investigation and Review Supporting Documents	This record series represents compliance investigations. The series may include but is not limited to: documentation detailing the alleged compliance violation, investigative findings, reports, and any related documentation.	AC	7			AC=After Closed, terminated, expired or settled.			
400	1.1	Compliance Opinions and Advice	This record series may Include Compliance Opinions provided by the Office of Institutional Compliance, including any request listening the opinions.	AC	7			AC=After closed, expired, settled.			
401	1.1	Films, Videotapes, and Sound Recordings	This series provides visual and/or aural documentation of institutional activities and events including students, faculty and staff with significant relevance to either the institutions or individual unit's function and mission.	AV					O	URRS-6	



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403	1.1	Event Administration Records	This series documents facilities, services and other accommodations provided by the institution for events on campus. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering service orders; purchase and supply records; customer evaluations; summary report; and related correspondence.	AC	1			AC = After completion of the event.		URRS-40. CAUTION: Use this record series in conjunction with RRS Section 4.1 for financial records, RRS 5.1.001 for written agreements or contracts, and RRS Section 5.3 for purchasing records.	
405	1.1	License Agreements and Other Agreements for Patents, Trademarks, and Copyrights.	Includes related correspondence and financial documentation.	PM					I	URRS-74	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.
406	1.1	Patent Applications – Not Issued.		AC	7			AC = Date of last office action or related correspondence in file.		These patents applications remain confidential unless published by the US Patent Office Or World Intellectual Property Office. URRS-512	



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407	1.1	Invention Report Forms and/or any other related documents used to disclose an invention		AC	7			AC = After commercialization efforts for the invention disclosed have been concluded, or rights to the invention have been released to the inventor/s and all outstanding obligations under the release have been satisfied, or invention has been declared uncommercializable or otherwise unsuitable for continued processing.	I	URRS-277	
413	1.1	Membership/Affiliations – Professional Organizations	Consists of various information from professional organizations to which an employee or student may belong and records work done for these organizations.	AV							
414	1.1	Interlibrary Loan Borrowing Records		CE	5					Copyright laws require 5 year retention. URRS-209	



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415	1.1	Library Patron Records		AC				AC=Separation from University, but only after all checked out items and/or fines have been cleared.		URRS-207. See RRS 5.4.011 for sign-in sheets, guest books, patron logs, and similar records documenting visitors to limited access or restricted areas of university facilities.	
419	1.1	Photographs and Negatives – Historically Significant	Documents the collection of photographs or negatives created by or for a component. Includes events that documents the component organization, special ceremonies, occasions, events and facilities. They include commercially available material.	AV					I	Photograph or Negative. URRS-6	
554	1.1	Compliance Investigations Relating to Anonymous Reporting	This record series tracks the reporting activity data items from hotline calls, anonymous and individual reporting.	AC	7			AC= After closed, terminated, expired or settled.			



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565	1.1	Compliance Training/Tracking Records	This record series documents annual general compliance and General Compliance Awareness Training for UNTS, UNT and UNTD, training requirements and completion of training for all institutional employees.	FE	5						
566	1.1	Routine Compliance Reviews/Reports	This record series supports institutional routine compliance reviews and monitoring activity.	AC	7			AC = After closed, terminated, expired or settled.			
660	1.1	Volunteer Records	This series documents the activities and administration of a volunteer program. Records may include: volunteer our statistics; insurance requirement information; inactive volunteer files containing applications and conditions of volunteer service forms.	AV							
665	1.1	Free Speech		AC	2			AC=Final decision approved.			
672	1.1	Association and Organizational Advisory Records	Includes institutional membership information, for the UNT System and each component institution.	PM					I		



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					Years	Months	Days				
673	1.1	Advisory Board Records	Minutes, agenda, reports, and correspondence.	PM					I		
685	1.1	Awards Records - Eligibility and Award History Information		PM					I		



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686	1.1	Daily Broadcast Logs			3					URRS-307. CAUTION: It is an exception to the retention period indicated that logs involving communications incident to a disaster or which include communications incident to or involved in an investigation by the FCC and about which the licensee has been notified, shall be retained by the licensee until specifically authorized in writing by the Federal Communications Commission (FCC) to destroy them. In addition, logs incident to or involved in any claim or complaint of which the licensee has notice shall be retained by the licensee until such claim or complaint has been fully satisfied or until the same has been barred by statute limiting the time for filing of suits upon such claims.	47 CFR 73.1840(a), 47 CFR 73.1800, 47 CFR 73.1820.



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687	1.1	Awards Records - Selection Records			5						
689	1.1	Election Records	Includes official ballots and election results.	AC	2			AC = Results are verified.		URRS-338	
721	1.1	Affiliation Agreements		AC	4			AC=Termination of Agreement.			
722	1.1	Continuing Medical Education (CME)	Records other than fiscal or attendance.		6					URRS-495	Accreditation Council for Continuing Medical Education (ACCME).
70	2.1	Data Entry Documents		AV							
440	2.2	Information Security Risk Records	This record series may include, but not limited to, the Information Security Risk Self-Assessment Survey, supporting documentation, communication and feedback, analysis, and reports.	AV							
27	3.1	Biographical Records (Vitus, etc.)		AV					I		
30	3.1	Bonds – Fidelity Bonds of Employees			5						
45	3.1	Certificates of Age		AC	5			AC = Termination of employment			



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241	3.1	Requests for Name Change – Employee		AC	5			AC = Termination of employment.			
417	3.1	Request for Approval of Outside Employment, Consultation, or Related Activities		AC	2			AC = Termination of employee involvement in employment, consultation, or activity.			
453	3.1	Request for Work Schedule Changes	Includes requests for flex (flexible, flex time) program schedules.	US	1						
454	3.1	Accommodation Requests Under Americans with Disability Act (ADA)	For faculty and staff.	AC	3			AC = Separation of employment.		Human resources retains the documentation for Faculty and Staff. URRS-246	
455	3.1	Accommodation Requests Under Americans with Disability Act (ADA)	For students	AC	3			AC = Date of last attendance.		Office of Disability Accommodation retains records for students. URRS-246	



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461	3.1	Appointment Promotion and Tenure Records	This series documents the periodic consideration of faculty were eligible for promotion and rank them change in tenure status, faculty appointments, and compliance with UNT regulations for periodic performance evaluation of tenured faculty. Records may include but are not limited to appointment, promotion and tenure proposals submitted by department for review by the Promotion, Tenure and Appointment Committee, committee member working notes, committee recommendations and approvals, and documentation of post-tenure review recommendations. Proposals may include but are not limited to: Chairs' letter of proposal, department or school committee's letter of recommendation, letters of evaluation and a current curriculum vitae.	AC	5			AC = Termination of employment.		URRS-57	29 CFR 1602.49, 29 CFR 1602.49(a).



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703	3.1	Continuing Medical Education (CME) Activity Fiscal Records	Includes records for funding support of events and expenditures of funds.		6					CME Activity Fiscal Records are kept electronically indefinitely; paper files for 6 years.	Accreditation Council for Continuing Medical Education (ACCME).
713	3.1	Continuing Medical Education (CME) Class Records			6					Departments should keep records on attendance at continuing education courses. CME attendance records are kept electronically indefinitely; paper files for 6 years.	Accreditation Council for Continuing Medical Education (ACCME).



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					Years	Months	Days				
723	3.1	Drug Test Records/Negative Results	This record series consists of the positive results of a drug test under the Drug-Free Workplace Act or as required for a commercial Drivers License (CDL) or other drivers under US DOT regulations as well as records related to cancel tests this series might include documents generated in decisions to administer reasonable suspicion or post accident testing, or and varying the existence of a medical explanation of the inability of the driver to provide adequate breath or to provide a urine specimen for testing. In addition, the case file should be included: the employers copy of an alcohol test for, including the results of the test; a copy of the controlled substances test chain of custody control form; documents sent by the medical review officer to the employer; notice to report for testing; affidavit signed by the employee stating any prescription drugs for over-the-counter medication currently taken; final clearance to resume working. This can include memorandum and correspondence related to an employee's refusal to take or submit samples for		2					URRS-322.	



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724	3.1	Drug Test Records/Positive Results	This record series consists of the positive results of a drug test under the Drug-Free Workplace Act or is required for a Commercial Drivers License (CDL) or other drivers under US DOT regulations as well as records related to cancel tests. This series might include documents generated in decisions to administer reasonable suspicion or posts – accident testing, or in verifying the existence of a medical explanation of the inability of the driver to provide adequate breath or to provide a urine specimen for testing. In addition, the case file could be included: the employers copy of an alcohol test form, including the results of the test; a copy of the controlled substance test chain of custody control form; documents sent by the medical review officer's to the employer; notice report for testing; affidavit signed by the employee stating any prescription drugs for over-the-counter medication currently taken; final clearance to resume working. This can include memorandum and correspondence related to an employee's refusal to take or submit samples for an alcohol and/or controlled substance	AC	5			AC = End of eligibility.		URRS-323	



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725	3.1	Drug Testing – Documents of Refusals to Take Required Tests			5						
183	3.2	Payroll Check Signature Lists – Account and Employee Levels	This record series lists the employee name, employee number, and signature specific pay period.		1					Payroll for account level, local unit employee level.	
693	3.2	Unemployment Compensation Records		AC	5						
475	3.3	Time and Effort Report	A record certifying the percentage of time worked on a sponsored project during a particular reporting period.	FE	7					Records are kept in electronic format.	



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484	3.4	Family Medical Leave Case Files	This series documents requests for leave and granted leaves by employees under provisions of the Federal Family and Medical Leave Act (FMLA). Records may include but are not limited to: employee leave request forms; notices to employees of leaves granted or rejected; Certification of Physician or Practitioner for employee or a family member; employee backup information and leave history records; employee time records and documentation of leaves taken; continuation of health and dental insurance benefits documentation; dispute records regarding designation of leave as FMLA; and related documentation and correspondence.	FE	3						
135	4.1	Interdepartmental Orders		FE	5						
136	4.1	Interdepartmental Transfers		FE	5						



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46	4.2	Certificates of Payment – College Work – Study Program		FE	7					Retention is based on requirements listed in the Federal Student Assistance General Provisions: Record Retention and Examinations and THECB MOU.	34 CFR 668.24
337	4.2	Vouchers, Local		FE	5					Retention is based on requirements listed in the Federal Student Assistance General Provisions: Records Retention and Examinations	34 CFR 668.24
338	4.2	Vouchers, State		FE	5					Retention is based on UNT internal practice. Retention is also based on requirements listed in the Federal Student Assistance General Provisions: Record Retention and Examinations.	34 CFR 668.24
418	4.2	Vendor Set up Forms	Records providing vendor profile information.	US							
708	4.2	Batch Tickets (MSRDP)		FE	5						
720	4.2	Receipt Books (MSRDP yellow copy)				2				Original available in Accounting Office.	



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147	4.3	Accounting Records – Student Financial Aid	Journals or Registers – Student Loans.	AC	7			AC = End of award year for which the aid was awarded. Financial aid federal, state, and institutional accounting records. 34 CFR 668.24 and THECB MOU			
34	4.5	Budgets – Internal		FE	3						
138	4.6	Inventory Sheets		FE	3						
28	4.7	Bonds – Bond and Coupon Certificates of Destruction		PM							
113	4.7	Fines Records, Paid			3						
114	4.7	Fines Records, Unpaid			10						
204	4.7	Perkins Promissory Notes – Financial Aid		AC	5			AC = Note is paid in full.		Also maintain payment history.	
205	4.7	Promissory Notes – Non--Financial Aid		AV							
218	4.7	Refunds and Repayments		FE	3					Retention is also based on requirements listed in the Federal Student Assistance General Provisions: Record Retention and Examinations.	34 CFR 668.24



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250	4.7	Return Checks/Warrants/Drafts		FE	4					Retention period based on advice of legal counsel for litigation purposes.	
260	4.7	State Grant Information on File		AC	3			AC = Resolution of file.			
366	4.7	Account Records	This record series documents the creation of accounts. Records may include but are not limited to active dates account, modification account numbers and related documents and correspondence.	AC	6			AC = After account close.			
670	4.7	Distributed Learning Funding Model Records	This record series includes documentation, proposals and funding requests submitted to the Center for Learning Enhancement Assessment and Redesign.	FE	5						
63	5.1	Courier Authorizations/Shipping Records	This series provides a record of items that are mailed by the department via UPS, Federal Express, or another carrier. Records may be used for billing and/or tracking. These records include; printing and mailing shipping forms; parcel mailing order form; and related correspondence.		2						



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73	5.1	Deeds and Easements		LA					I		
134	5.1	Intellectual Property – Copyright, Patents, and Trademark	Includes underlying patents, trademarks and copyrights, financial documentation, related correspondence and any other supporting documentation.	PM						URRS-301, URRS-276, URRS-512, URRS-277	17 U.S.C. 302.
501	5.1	Service Request Forms		AV							
503	5.1	Permits/Mail Services	This record series consists of bulk mailing permits.	AC	1			AC = After expiration of permit.			
505	5.1	Registered Mail Receipts	This record series consists of receipts for registered mail.		1						
506	5.1	Contracts and Leases - Not Executed	This records series consists of legal documents, correspondence, reports, etc. relating to the negotiation of contracts and leases that were not executed.	AC	1			AC = After decision to not execute the contract.			
510	5.2	Building Code Listing	List of codes used to designate buildings at various locations and campuses of the University.	US	5						
513	5.2	Facilities Management Maintenance/Renovation/Repair Records	This series documents the condition, upkeep, and routine maintenance of the institution's buildings and grounds.	AV							



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52	5.3	Commodity Code Listing		US	3						
394	5.3	Procurement Card (P – Card) Records	A record of purchases made with the University Procurement Card. This record series may include but not be a limited to: Procurement Card Transaction Log, original charge slip, sales receipt, packing slip, invoice, or any other information related to the purchase.	FE	5						
65	5.4	Course Safety Evaluations		AC	5			AC = After submission to Risk Management.			



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127	5.4	Chemical and Hazardous Waste Disposal Records	This series documents the receipt, shipment, and disposal of chemical material or hazardous wastes on campus. This series Includes but Is not limited to: chemical and waste inspection forms; drum packing sheet; Uniform Hazardous Waste Manifest forms (epa 8700); Certificates of Disposal from vendors; land disposal notification form; waste disposal records; and related documentation and correspondence.		30						
212	5.4	Radiation Dosimetry Records		PM							
229	5.4	Reports - Laboratory		AV							



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688	5.4	Emergency management Crisis and Disaster Records	Includes records related to the declaration of emergency, financial records which document the expenditure of emergency funding. This series is intended to capture copies of records (which document the expenditure of funds) in other record series and hold them together in order to chronicle the emergency management process.	AC	5			AC = 5 years following the close of the emergency/disaster and the reconciliation of funds expended.			
727	5.4	Chemical and Radiation Exposure Reports	Includes terminated badge files, Lifetime Cumulative Occupational Radiation Dose (TRC Form 21-2) and Individual Monitoring Results (TRC Form 21-3).	PM							29 TAC 289.202
728	5.4	Radiation Program Audits			3				I		25 TAC 289.202.
729	5.4	Radiation Protection Program Records		PM					I	Mandated by TDH. 25 TAC 289.202. Radiation Safety Committee minutes and supporting documentation.	
730	5.4	Records Used to Prepare TRC Form 21-2 and TRC			3				I		TAC 289.202.21



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552	5.6	Vehicle Accident Records	This series documents accidents involving vehicles owned by the University. This series may include but not limited to: vehicle accident reports; vehicle accident claims; damage or loss of state property reports and related documentation and correspondence. Information may include: vehicle type and identification number; name of party using the vehicle; notation of condition before and after use; and authorizing signatures.		2					Retention based on Local Schedule PS - Retention Schedule for Records of Public Safety Agencies.	



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					Years	Months	Days				
190	6.1	Police Arrest Records			75					Front page of record is open, remainder is confidential. Note: Date of individuals death, if known, can substitute for 75 years. If the arrest report does not provide 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 misdemeanor; the date of arrest; and a day an exact disposition of the case by the agency, then documents sufficient to provide this information from Offense Investigative Records must be retained for 75 years or until the date of the individuals death. Retention based on Local Schedule PS - Retention Schedule for Records of Public Safety Agencies: PS4125-02.	



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191	6.1	Police - Fingerprint Records		AV						Retention based on Local Schedule PS – Retention Schedule for Records of Public Safety Agencies: PS4175-03.	
192	6.1	Police – Offense Investigation Records – Cases Not Cleared	Documents offenses, that occur on the University campus that violates state laws and regulations. This record series may contain but is not limited to: case number, type of report, date, time, complainant or victim, address and detailed report.	AC				AC = Statute of Limitations has run.		PS4125-05a	
193	6.1	Police – Offense Investigation Records – Misdemeanors and State Jail Felonies	Documents offenses, that occur on the University campus that violate state laws and regulations. This record series may contain but is not limited to: case number, type of report, date, time, complaint and or victim, address and detail of report.	AC	10			AC=Cases cleared.		PS4125-05b Retention based on Local Schedule PS – Retention Schedule for Records of Public Safety Agencies as well as UNT practice.	



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					Years	Months	Days				
196	6.1	Police – Offense Investigation Records – First-Degree and Capital Felonies	Documents offenses, that occur on the University campus that violates state laws and regulations. This record series may contain but is not limited to: case number, type of report, date, time, complainant or victim, address and details of report.	AC	50			AC = Cases Cleared.		PS4125-05b For Retention See Notes in Police – Arrest Records and Police – Offense Investigation Records – Class C Misdemeanors. Retention based on Local Schedule PS Retention Schedule for Records of Public Safety Agencies as well as UNT practice.	
197	6.1	Offense Investigation Records – Second and Third Degree Felonies	Documents offenses, that occur on the University campus that violates state laws and regulations. This record series may contain but is not limited to: case number, type of report, date, time, complaint and or victim, address and details of report.	AC	10			AC = Cases cleared.		PS4125-05 For retention see Notes and Police – Arrest Records and Police – Offense Investigation Records. Retention based on Local Schedules PS – Retention Schedule for Records of Public Safety Agencies as well as UNT practice.	
198	6.1	Citations, Tickets, Towed/Booted Vehicle Records		FE	5					PS4125-01	



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560	6.1	DVD Media - Charges Filed		AC	10			AC=Cases cleared.		PS4125-04b For retention see Notes in Police - Arrest Records and Police - Offense Investigation Records. Retention based on Local Schedule PS - Retention Schedule for Records of Public Safety Agencies as well as UNT practice.	
567	6.1	Surveillance Video Tapes	This records series consists of surveillance video tapes created to monitor activities occurring within and outside of institutional buildings.	AV						PS4050-06 CAUTION: Reuse or destroy based on retention period only if not required to support known investigations or litigation. O=Electronic, compact disc, or videotape.	
568	6.1	DVD Media - Charges Not Filed				6				PS4125-04a Retention based on Local Schedule PS-Retention Schedule for Records of Public safety agencies as well as UNT practice.	



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569	6.1	Law Enforcement Information Dissemination, Inquiry, Receipt And Criminal History Master File	Reports, logs and other records pertinent to documenting the dissemination of criminal histories and other information to law enforcement or other agendas through crime information networks (e.g., TCIC, NCIC) or by other methods and similar records documenting inquiries for the receipt of information.	AV						Retention based on Local Schedules PS – Retention Schedule for Records of Public Safety Agencies: PS4175-050 a-d.	
571	6.1	Parking Citation Appeals		AC	1			AC = resolution of appeal.			
572	6.1	Vehicle Assistance Records	Includes jumper cable service, unlocking doors, etc.		1						
573	6.1	Security/Safety Notices and Warnings		AC			30	AC = Date security problem corrected.			
575	6.1	Police Incident Reports	Reports concerning incidents or complaints that, after investigation, did not appear to have involved the commission of a crime.		3					Retention based on Local Schedule PS – Retention Schedule for Records of Public Safety Agencies: PS4150-07.	



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					Years	Months	Days				
576	6.1	Dispatch Reports	Reports created by dispatcher on each call for service showing date and time call received, nature of call, and detail of action taken in response to call.		2					PS4100-05 Retention based on Local Schedule PS – Retention Schedule for Records of Public Safety Agencies.	
608	6.1	Personal Background Information for Commission Police – Hired	This series consists of request for, and results of, criminal and other background checks and information on employees.	AC	5			AC = Termination of employment.			
609	6.1	Personal Background Information for Commission Police – Not Hired	This series consists of requests for, and results of, criminal and other background checks and information on applicants.		2						
610	6.1	Personnel Background Information for Civilian Police – Hired	This series consists of request for, and results of, criminal and other background checks and information on employees.	AC	5			AC = Termination of employment.			
611	6.1	Personal Background Information for Civilian Police – Not Hired	This series consists of request for, and results of, criminal and other background checks and information on applicants.		2						



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659	6.1	Telephone and Radio Communication Recordings	This record series includes recordings of all phone extensions and radio channels in the Police Communication Center, Parking Office and Detective's Offices		1					PS2575-01 Retention period based on best practices from IACLEA and CALEA accrediting bodies.	
666	6.1	Sexual Offender Registration File		AC	3			AC = the end of the semester that the individual is no longer enrolled at UNT.			Code of Criminal Procedure 62.153.
671	6.1	Police Academy Records	This record series may contain academy recruitment records, lesson plans, instructor biographies, records of tests and other evaluation instruments, meeting minutes and advisory boards and inspection and follow-up reports of TCLEOSE inspectors.		5					* Certificates of Academy/course completion for police officers should be retained in the Police Department's personnel file for 5 years following separation from the institution.	TCLEOSE Rules Handbook 215.9 (b)(3)(J) 37TAC 215.1 c, 37 TAC 215.7 e.
711	6.1	Arrest Records – Punishable by Fines Only		AV						Front page of records open remainder is confidential.	



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268	7.1	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.		CAUTION: International student academic records must be retained at least 1 year after final notice to Immigration and Naturalization Service.	
274	7.1	Student Data Sheets		AC				AC = End of the term the transaction occurred.		FERPA, confidential record.	
290	7.1	Student Immigration Records		AC	5			AC = After student graduates.		FERPA, confidential record.	
294	7.1	Student Record Cards – Alphas and Numerics		PM						FERPA, confidential record. Retention period based on AACRAO guidelines for academic records.	



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319	7.1	Test Questions, Exams, Quizzes, Term Papers	Records may include but are not limited to: examinations and answers; quizzes and answers; course(work) papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	AC	1			AC = End of Academic term. Academic departments are not responsible for retaining copies of test returned to students.		CAUTION: Coursework under dispute may not be destroyed until the resolution of the dispute.	



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					Years	Months	Days				
345	7.1	International student records/Matriculantes	This series documents institution assistance to international students and have been admitted to academic programs. These records primarily concerned institution admissions, immigration issues, and other nonacademic matters. Records may include but are not limited to: copies of visa; scholarship information; Institute admissions forms; graduate school applications; transcript of previous college work; grade reports of prior college work; grade reports from institutional courses; international student advisors notes; degree completion certificate; explanations for student withdrawals; recommendations and evaluations of students; and related documentation and correspondence.	AC	10			AC = After student graduates.			



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350	7.1	International Student Records/Non-Matriculantes	This series documents institution assistance to international students who have failed to enroll in academic programs. These records primarily concern institution admissions, immigration issues, and other nonacademic matters. Records may include but are not limited to: copies of visa; scholarship information; institution admissions forms; graduate school application; transcript of previous college work; grade reports of prior college work; grade reports from institutional courses; international student advisors notes; degree completion certificate; explanations for student withdrawals; recommendations and evaluations of students; and related documentation and correspondence.	AC	1			AC = failure to enroll.			



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393	7.1	Student Grievance Records			75					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 3.1.039.	
604	7.1	Honors/Awards	This record series provides a historical record of any academic honors and/or awards given to students.		75						
108	7.2	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.		5					American Association of Collegiate Registrars and Admissions Officers	



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578	7.2	Course Evaluations	This record series consists of information/surveys done to evaluate the course and/or the instructor. They include correspondence, reports, etc.	AV							
585	7.2	Catalogs – Student Records		PM					I	ARCHIVAL NOTE: One copy to be retained in University archives.	
590	7.2	Program and Course Development Records	This record series documents the development, approval, and the implementation of undergraduate, graduate, and professional degree programs in any other reorganizations or charges to establish programs. This may include, but is not limited to: working papers, final reports, related prescriptions, outlines, sample explanations, textbook lists, etc.	PM							



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593	7.2	Course Content/Syllabi	Course Outlines, Descriptions and Syllabi. This record series contains course descriptions, syllabi, outlines, lesson plans, faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials.	FE	7					CAUTION: Departments should check with accrediting agency to determine retention requirements accreditation. If no accreditation requirement exist, retained for FE +7. Actual student exams, i.e., those filed out by students, fall under record series for Test Questions and Examinations, not this record series.	
302	7.3	Student Recruitment Records		AV							
318	7.3	Tests – English Usage Scores – Internal		AV						FERPA, confidential record.	
320	7.3	Tests – Student Admission Scores and Reports – External		AC	5			AC = End of turn the transaction occurred.		FERPA, confidential record.	



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579	7.3	Admissions Records - Accepted	This series documents the application process for individuals seeking admission to the institution. Records may include but are not limited to: admission applications; program applications; academic transcripts from other institutions; test scores; letters of admittance; personal statements; publications; letters of recommendation; resumes; waivers of rights to access letters of recommendation and related documentation and correspondence.	AV						The federal legislation which governs these records is as follows: Veterans Administration regulations require that all recruitment materials be retained 3 years. Academic programs are responsible for maintaining program applications and related documentation. Student Advising Records should be maintained in accordance with UNT Item Number 270, Student Advising Records.	



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580	7.3	Admissions Records- Not Accepted	This series documents the application process for individuals seeking admission to the institution. Records may include but are not limited to: admission applications; program applications; academic transcripts from other institutions; test scores; letters of admittance; personal statements; publications; letters of recommendation; resumes; waivers of rights to access letters of recommendation and related documentation and correspondence.	AC	1			AC = After application term. Federal legislation or statute statutes may dictate a longer retention period.		The federal legislation which governs these records is as follows: Veterans Administration regulations require that all recruitment materials be retained 3 years. Academic programs are responsible for maintaining program applications and related documentation. Student Advising Records should be maintained in accordance with UNT Item Number 270, Student Advising Records.	
581	7.3	Admissions Report	This series provides summary information relating to student admission programs which may be used for control, planning or review.	AV							
658	7.3	Admissions – No Fee Applications	Admissions applications received without regular fee payment.	AC				AC = Applications Are Held by the Admissions Office until the 12th class day of the semester in which the application was received.			



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280	7.4	Student Eligibility & Financial Aid Recipients	This series may include but is not limited to, Statements of Truth - in - Lending, cancellations, income verifications, interview and assistance records, needs analysis, status change records, etc.	AC	7			AC = End of the award year for with the aid was awarded. Records that substantiate the eligibility of students for financial aid.		Retention based on THECB MOU.	



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					Years	Months	Days				
304	7.4	Student scholarship records – Awarded	May include application materials for students receiving the scholarships; forms rating the applicant; award notification letters, etc.	AC	7			AC = After Award year.		The Department maintains records related to scholarships that are administered by their office. Academic or Administrative departments that administer a scholarship and associated awards are responsible for maintaining records related to the application, award notification letter and related to the application, award notification letter and related documentation, which may include application materials for students receiving the scholarships; forms rating the applicants; award notification letters; competitive scholarship waiver, etc. Retention based on THECB MOU.	



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347	7.4	Scholarship Applications - Not Awarded	A record of students who have applied for departmental scholarships and who have not been awarded scholarship funds.	AC	1			AC = End of Application Period		The department maintains records related to scholarship application processes that are administered by their office. Academic or Administrative Departments that administer a scholarship and associated awards are responsible for maintaining records related to the application , which may include application materials; forms rating the applicants; essays and letter of recommendations, etc.	



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349	7.4	Scholarship Awarded by Department/Program Administration Records	A record of a departmentally administered scholarship program (not administered by University Financial Aid). May include documentation of the establishment of the fund (administrative requirements for scholarship, donations received, copies of wills, etc.), correspondence regarding the scholarship program, list of recipients, etc.	PM					I	This record series does not include applications submitted for the scholarship.	
244	7.5	Request for Student ID's		AC	1			AC = End of term of the transaction occurred.		FERPA, confidential record.	
589	7.5	Tuition and Fee Charges		AC	5			AC = Graduation or date of last attendance.			
712	7.5	Investigative Records (Student Bad Debt)		AC	3			AC = After Completed.			



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306	7.6	Child and Youth Program Participant Records	This series documents the participation of children and youth in programs sponsored by the institution. The series may include: applications; enrollment records; progress reports and assessments; immunization records; parental consent forms; activity records; lists of attendees and related correspondence.	AC	3			AC = End of program session or student separation from program, as applicable.		URRS-254	



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277	7.6	Student Disciplinary Records	This series documents student disciplinary actions. Records may include but are not limited to: incident reports; final report; evident; notification of allegations; timely notice forms; conduct – pending, conduct restitution, suspension lists; disciplinary reports; informal discussion notes; formal hearing notes and associated audio/visual recording; final summary statement; decision statement; appeals documentation; and other related documentation and correspondence.	AC	7			AC = Case adjudicated, FERPA, confidential record.		Retention depends on nature of penalty assessed. Only penalties of expulsion, suspension or disciplinary probation are retained permanently.	



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289	7.6	Student Housing Records	This series provides a record of occupancy in all institutional administered housing. The series may include but is not limited to: housing requests, housing assignments, signed housing policies, drivers license forms, reservation/housing agreements, tenant rent and deposit receipts, tenant discrepancy memos, went delinquent notices, they vacating notices and related documentation and correspondence.	FE	5					Retention is based on UNT internal practice. Retention is also based on requirements listed in the Federal Student Assistance General Provisions 34 CFR 668.24: Record Retention and Examinations.	
293	7.6	Student Placement and Career Counseling Records		AC	5			AC = After graduation.		FERPA, confidential record.	
596	7.6	Student Organization Administrative Records	This series documents the history, development, and policies and campus student organizations.	AC	1			AC = Life of the organization.	O		



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651	7.6	University Affiliated Student Group Discipline	Files records and supporting documentation for University Affiliated Student Group Discipline records may include but are not limited to: incidents reports; final reports; evidence; notification of allegation; timely notice form; conduct pending, conduct restitution, suspension lists, disciplinary reports, informal discussion notes, formal hearing notes and associated tape recordings, final summary statements, decision statements, appeals documentation, and other related documentation and correspondence.	AC	7			AC = Case adjudicated.		FERPA, confidential record. Retention depends on the nature of penalty assessed. Only penalties of expulsion, suspension disciplinary probation are retained permanently. O = electronic, paper, audio cassette.	
662	7.6	CARE Team Files	CARE team meeting notes, counseling referrals, emails, student crisis, follow-ups, spreadsheets, etc.	AC	7			AC = After separation or graduation from the institution.			



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663	7.6	Emergency Fund	These records include a student's application for emergency fund requests, including documentation of the catastrophic event, and the receipts for what the student used the emergency fund money for	AC	7			AC = Date fund was awarded.			
269	7.7	Graduation - Degree Audit and 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 date of last attendance.			
270	7.7	Student Advising Records		AV							
276	7.7	Student Degree Plans		PM							



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605	7.7	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 students names; course names; number of credit; and faculty signatures.	AC	1			AC = Graduation date or last date of attendance.			
8	7.8	Administrative Student Schedule Changes			5						
49	7.8	Class Roll summary			5						
50	7.8	Class Schedules Preparation Records.	Reports, Studies and Analysis.		5						
111	7.8	Federation Enrollment Records		PM							
172	7.8	Notification of Small Class			5						
231	7.8	Reports - Semester Credit Hour			10						



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242	7.8	Student Name Change Records	This series documents applicant/student name change is reported to the admissions/registrar's office by applicants/students. Record may include but are not limited to: letters requesting change in name; name change forms; list of reports students with changed names; and related documentation and correspondence.	PM						Paper copy microfilmed after 3 months. FERPA, confidential record.	
243	7.8	Request for Student ID Changes		PM						FERPA, confidential record. EIS.	



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245	7.8	Transcript Request Forms	This series provides a record of student requests for transcripts to be sent to other institutions. Information on the individual form includes: students present name and other name(s) under which the student attended; and Social Security number; home address; phone number; student signature; number of copies of transcript requested; the status; whether official or unofficial transcripts are desired; date of request; and designation(s) of transcript(s).	AC	1			AC=End of term transaction occurred.		FERPA, confidential record.	
264	7.8	Student Academic Progress Records		AC	5			AC=After Graduation.			
265	7.8	Student Academic Status Report		PM							
266	7.8	Student Academic Suspension Waiver		AC	5			AC=After Graduation.			
267	7.8	Student Class Records - Add/Drop		AC	5			AC=End of term transaction occurred.		FERPA, Confidential record.	
272	7.8	Student Block and Clear Records			15					FERPA, confidential record.	



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273	7.8	Veterans Records	This series documents the entitlement status and enrollment of veterans in the institution. Records include but are not limited to: State Veterans Affairs forms that certifies resident veterans educational benefits entitlements (Hazelwood Act); individual veterans student records that certify to the US Department of Veterans Affairs that the student is eligible for educational benefits, is currently enrolled at the institution and a qualifying curriculum, and is maintaining standards required to receive entitlements; veterans attendance reports; and related forms, documentation and correspondence.	AC	3			AC=Termination of enrollment. Enrollment less than one year, FE+3.			38 CFR 21.4209(f).
275	7.8	Student Degree Applications		PM						FERPA, confidential record.	
278	7.8	Student Enrollment Statistics		PM						Retention period based on AACRAO guidelines for statistical reports.	



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279	7.8	Student Enrollment Verification		AC	5			AC= End of term the transaction occurred.			
286	7.8	Student Grade Changes		PM						Paper copy microfilmed after one month. FERPA, confidential record. Retention period based on AACRAO guidelines for change of grade forms.	
287	7.8	Grade reports	This series documents grades received by students for the term. Includes: course numbers and titles; grades awarded; grade point average; student name; and Social Security number.	PM							
288	7.8	Student Graduation Status and Ranking Records		PM						Retention period based on AACRAO guidelines for graduation lists.	
291	7.8	Student Pass/Fail Records		PM							
292	7.8	Student Permits for Admission to Registrar		AC	5			AC=After graduation or date of last attendance.			
296	7.8	Student Records Releases	Documentation of Requests from and Disclosures to a Party Seeking Directory Information.		2					FERPA, confidential record.	



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297	7.8	Student Record Releases - Requests and Disclosures to Student and University Official(s) With Legitimate Educational Interests			2						
298	7.8	Student Record Releases - Written Refusals for Disclosure of Directory Information		AC				AC=After termination of enrollment.			34 CFR 99.32(a)(2).
299	7.8	Student Record Releases - Documentation of requests from and Disclosures to Student			2					FERPA, confidential record.	
300	7.8	Student Record Releases - Documentation of Requests from and Disclosures to a Party with Written Consent from the Student		PM							



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301	7.8	Student Record Releases - Student Written Consents		PM							
303	7.8	Residency Classification Forms	This series documents declarations filed by students regarding state residency status which is critical for determining tuition status. Records may include but are not limited to: affidavit; correspondence regarding residency; and related documentation.	AC	5			AC=After Graduation.			
308	7.8	Student Validation and Verification Records		AC	5			AC = End of term the transaction occurred.		FERPA, confidential record.	
310	7.8	Student Withdrawals/Reinstatement Records		PM							



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577	7.8	Diploma Mailing Verification Records	This series documents students requests to have diplomas and other graduation records distributed to specific addresses. Records include: sign cards listing permanent addresses for diplomas to be mailed to; indicating that these have been pay; and listing students names, college or school within the institution, degrees granted, and dates of request.	AC	1			AC=Graduation date.			
582	7.8	Academic Transcripts	A record of the academic history of a student in terms of the courses taken, grades, and degrees received. High School and College Transcripts as well as UNT transcripts.	PM						Files can include both college or high school transcripts. Retention period based on AACRAO guidelines for academic records.	



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591	7.8	Class Lists	This series provides instructional units with an official record of students enrolled in courses taught. The series is used to cross-check students who have enrolled against those who have registered as well as in the generation of statistical reports. Information in the series includes: student names; Social Security numbers; term; and enrollment/registration status.	PM					I	In EIS.	
592	7.8	Commencement Records	This series documents commencement program planning and implementation at the institution. Records may include but are not limited to: commencement attendance form; planning records created by commencement committees or other planning groups; and related documentation and correspondence.	PM					I	Includes commencement programs and graduation lists. Graduation lists may be exempt from public disclosure.	



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594	7.8	Reports – Statistical	This series documents student status enrollment at the institution. Records may include: specialize 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 veteran enrollment; reports documenting student and enrollment by term; and reports on other topics.	AV					I		
597	7.8	Transcript Hold or Encumbering Authorization Forms	This series documents hold on transcripts and academic reporting information place by the institution for a number of reasons. This series consists of forms authorizing the holding of academic records and information until a specific action is taken by the subject of the academic record.	AC				AC=Release of the hold authorization.			



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603	7.8	Dean's List			5						
607	7.8	Family Educational Rights and Privacy Act. (FERPA) Documents	This series documents the process of student information release requests and consent authorizations or denials in accordance with the Family Educational Rights and Privacy Act. Records may include but are not limited to: requests for nondisclosure of directory information; request for release of personally identifiable information; records of disclosures made to 3rd parties; request for formal hearings; student statements regarding hearing panel decisions; in decisions of the hearing panel; written consent of the student to disclose records; waivers for rights of access; and related documentation and correspondence.	AC	1			AC = Life of the affected record or until student terminates waiver for written consent of the student to disclose records and waivers for rights of access.			
684	7.8	Deceased Student Files		AC	5			AC=Date of Notification of Death			



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699	7.8	Student Credit for Military Training Records		AC	5			AC = After graduation		Buckley Amendment, confidential records.	
305	7.9	Student Teacher Records		AC	10			AC = After student graduates.		FERPA, confidential record.	
695	7.9	Residency & Fellowship Program – Application Information	Includes, but is not limited to, common application form, photographs, letters of recommendation, certified transcript scores, Dean's letter, graduate transcripts, documents for foreign medical graduates, sanction checks, acknowledgment forms, ranking documentation.	AC	1			AC=End of academic year in which application was made.			
696	7.9	Residency Program and Curriculum Records	Includes but is not limited to: schedules of conferences, curriculum used in residency programs, attendance sheets for conferences and special programs.	AC	1			AC = Program length		(AC = 4 Years for a four-year training program).	



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161	8.1	Medical Records – Adults Only (18 years and older)	This record series includes patient medical records and associated patient billing records.	AC	10			AC = After the date on which the patient who is the subject of the record was last treated, or the 21st birthday, which ever is later.		The UNT Student Health and Wellness Center maintain patient billing records as part of the series. Texas Administrative Code, Section 165.1, Medical Records; Texas Health and Safety Code 241.103 and Texas Government Code Section 441.187, Destruction of Records.	
162	8.1	Medical Record – Children (17 years or younger)		AC	10			AC = After the date on which the patient who is the subject of the record was last traded, or the 21st birthday, which ever is later.		The UNT Student Health and Wellness Center maintains patient billing records as part of this series. Texas Administrative Code, Section 165.1, Medical Records; Texas Health & Safety Code 241.103 and Texas Government Code Section 441.187, Distraction of Records.	



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654	8.1	Counseling Clinics – Patient Records	Patient information, client consent forms and associated documentation. This series documents provision of health – related services to clients on an outpatient basis by offices other than the Student Health and Wellness Center. Examples of types of services are: speech therapy; hearing testing; and cholesterol screening. This series may include but is not limited to: tests; goals and objectives; diagnostic report; questionnaires; custody agreements (minors) notes and related data.	AC	6			AC = Date of last contact with the client.		Retention based on requirements and Texas Administrative Code, Title 22, 681.41 (r).	
661	8.1	HIPAA Training Records	Records documenting employee HIPAA training.	FE	6					HIPAA Administrative Requirements 164.530.	
668	8.1	Pharmacy - Drug Administration Records	Inventory and other records of the purchase, acquisition, disposal, or dispensation of drugs as required by federal law and regulation, state law, and the rules of the Texas State Board of Pharmacy.	AC	2			AC = The later of the date that the records was required to be created, the record was actually created, or the prescription was last filled.		CAUTION: By federal regulation, inventories and records of all controlled substances must be maintained separately from all other records of the pharmacy.	21 CFR 1304.04(a); Health and Safety Code, Section 481.067(c); 37 TAC 13.207



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669	8.1	Drug Recall Notices	Food and Drug Administration (FDA) and manufacturer recalls on drugs. This records series may include but not be limited to, reportable occurrences of drug use, recalls through the manufacturer and responses by departments.	AC				AC = 5 years after the records of manufacture have been completed or six months after the latest expiration date for the individual product, whichever later.			21 CFR 600.12 21 CFR 7.49
698	8.1	Prescriptions (Regular)			3						
702	8.1	Patient Medical Records - X-Rays (Adult)		AC	10			AC=Date of last treatment. (adults).		Per legal counsel.	22 TAC 165.
707	8.1	HIPAA (Health Insurance Portability and Accountability Act of 1996) Records		CE	6					HIPAA Regulations require forms be kept for +6 years. Includes the following forms: acknowledgment of receipt of notice of privacy practice, request for disclosure accounting log, request for access to health info., Request for accounting disclosure PHI, request for amendment, request for special privacy protection, authorization for release of health information.	



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715	8.1	Explanation of Benefits			7						
718	8.1	Patient Medical Records – X-Rays (Children)		AC	10			AC = Date of child's 21st birthday or date of last treatment, which ever is later.		Per legal counsel.	22 TAC 165.
719	8.1	Prescriptions (Controlled Substance)			5						
690	9.1	USDA Inspection Records		AC	3			AC = Records must be maintained for the duration of the activity plus three years per USDA, IACUC (Institution Animal Care and Use Committee.)			9 CFR Part 2, Subpart c 2.35.
691	9.1	USDA Animal Tags		AC	1						
692	9.1	Research Animal Health Records		AC	3			AC = Records must be maintained for the duration of the activity plus three years per USDA, IACUC (Institutional Animal Care and Use Committee.)		URRS-289	9 CFR Part 2, Subpart c 2.35.
697	9.1	State Grant Information on File		AC	3			AC=Resolution of file.			



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700	9.1	Federal regulation compliance records for patients, copyrights, and trademarks	Includes all correspondence related to the reporting of federally funded inventions to appropriate sponsoring agency.	AC	7			AC = Expiration or abandonment of patent, copyright, or trademark or, for non-issued patents, date of last office action or correspondence.	I	Mandatory backup of documents is required. URRS-276		
701	9.1	Research Human Subjects Records	IRB and OPHS (only those records associated with OPHS or IRB review).	AC	6			AC = Records must be maintained for the duration of the activity plus six years per 45 CFR 46.				
704	9.1	Certificate of Veterinary Inspection		AC	3			AC = Records must be maintained for the duration of the activity plus three years per USDA, IACUC (Institutional Animal Care and Use Committee).			9 CFR part 2, subpart C 2.35.	
705	9.1	USDA Reports of Acquisition		AC	3			AC = Records must be maintained for the duration of the activity plus three years per USDA, IACUC (Institutional Animal Care and Use Committee).			9 CFR Part 2, subpart c 2.35.	



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706	9.1	Grant Records – Grants Which Include Clinical Trials/Drug Studies		AC	15			AC = After completion and upon receipt of notice of new drug application approval or investigational new drug withdrawal.		Includes both federal and nonfederal grants and sponsored agreements. See note 1. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with guidelines of grant or contract. The archival requirement is met by sending the required copies of the requests to TSLAC Publications Depository. Only the copies of supporting documentation submitted to the Legislative Budget Board are archival.	21 CFR 312.57.
709	9.1	Human Research Protocols		AC	6			AC = Records that relate to applications, proposals, and propose significant changes must be maintained for the duration of the activity +6 years per			45 CFR 46.



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716	9.1	Animal Protocols		AC	3			AC = Records that relate to applications, proposals and propose significant changes must be maintained for the duration of the activity plus 3 years per USDA, IACUC (Institutional Animal Care and Use Committee).			9 CFR part 2, subpart c 2.35.
717	9.1	Animal Forms Disposition or Transport of		AC	3			AC = Records must be maintained for the duration of the activity 3 years per USDA, IACUC (Institutional Animal Care and Use Committee)			9 CFR Part 2, Subpart c 2.35.



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726	9.1	Grant Records (Non-Federal and Non-State)	This record series consists of fiscal records for grants and other sponsored contracts that have been awarded by non-federal and non-state agencies.	AC	3			AC = END OF GRANT.		INTERNAL AUDIT WILL EXPECT DEPARTMENTS TO PROVIDE AUDIT RECORDS IN CASE OF AN AUDIT. CAUTION: Grants have individual guidelines for retention. Records must be retained in accordance with guidelines of grant contract. If the grant contract does not specify terms for retention then retain for AC+3.	



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694	10	Gift Income Records or Donor Files	This series documents potential or realize private, corporate or public agency funding to the institution, including endowments, gifts, donor records and trust. May also include but is not limited to: award guidelines; letters and agreements of gifts; amounts of donations received; name of donors; conditions placed on donations; copies of bequest instruments and wills from individuals or estates; gift/pledge transmittal forms; solicitation material; acknowledgment letters; copies of checks; or securities documents; financial statements; and reports, including records of fund disbursements; and related documentation and correspondence.	PM					I		



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10	10.1	Alumni Records	This record series documents the activities of a department's alumni and may also provide alumni offices with information on alumni. Records may be used to: create a network of support from alumni, primarily through organized alumni groups; to track alumni; to monitor their achievements, activities, and recognitions; to create statistics; to reply to information requests; and to provide information on the accomplishments of previous students. This series may include but is not limited to: memberships lists with names, addresses, employee or names and addresses, and positions; minutes, and directories; promotional materials concerning annual gatherings; oncoming 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 record; and notes, memoranda, and related correspondence concerning general alumni affairs.	PM					I		



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16	11.1	Athletic Conference Records		AV					I		
271	11.1	Student Athletic Eligibility Certification Records			5					FERPA, Confidential record.	
18	1.1.002	Audits	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC = Publication or release of final audit findings.		The record copy of any audit performed by the state auditor's office is retained permanently by that agency. UNT System Internal Audit retains the official copies of internal audits performed on the UNT System components	
153	1.1.004	Legislative Appropriation Request (LAR)	Including any supporting documentation created and/or used to justify and support legislative appropriations and requests by the University.	AC	6				I	P,I - Transfer to State Publications Depository Program in University Archives.	



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53	1.1.006	Complaint Records	Complaints received by the System or University from the public concerning the System or University and records pertaining to the resolution of the complaint.	AC	2			AC = Final disposition of the complaint.		CAUTION: if the complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048 (Litigation Files).	
60	1.1.007	Correspondence – Administrative	Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or re-definition of the programs, services, or projects of a component and the administrative regulations, policies, and procedures that govern them.		4				O	CAUTION: this record series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another record series on UNTS Records Retention 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 the prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.	



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61	1.1.008	Correspondence – General	Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of the University.	US	2					CAUTION: Does not apply to correspondence directly related to another category on this retention schedule. SEE comment on item number 1.1.007 (Correspondence Administrative), SEE ALSO item number 1.1.010 (Directives).	
79	1.1.010	Directives	Any document that officially initiates, resends, or amends general office procedure.	US	1						
105	1.1.011	Executive Orders	Any document that initiates, resends, or amends a regulation, policy, or procedure that governs the programs, services, or projects of the System or University.	US	5				I	Interagency factual data open, opinion and recommendation data confidential.	



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75	1.1.013	Calendars and Appointment Books/Itinerary Information	Calendars, appointment books, programs, and scheduling or itinerary records; purchased with state funds or maintained by staff during business hours that document appointments, itineraries and other activities of university officials or employees.	CE	1				O	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.	
351	1.1.014	Legal Opinions and Advice – Attorney General	Legal opinions from the UNTS Office of General Counsel or the Attorney General, including any request eliciting the opinions.	AV					O	CAUTION: Does not include the legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048 for records relating to pending litigation. Note: only cases that set legal precedent or exhibit historical value must be evaluated by the University archivist archival preservation.	



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674	1.1.014	Legal Opinions and Advice – Internal	Legal opinions from the UNTS Office of General Counsel or the Attorney General, including any request eliciting the opinions.	AV					O	Caution: Does not include legal opinion or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048 for records relating to pending litigation. Note: only cases that set legal precedent or exhibit historical value must be evaluated by the University archivist for archival preservation.	
171	1.1.019	Public Relations Records	News, press releases, or any public relations files maintained or issued by the University. Includes print, electronic, audio and audiovisual records.		2				O		
675	1.1.019	News Release Records - Significant Events for Policy Matters		PM					I		
676	1.1.019	News Release Records - Routine Releases			2				O		



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174	1.1.020	Public Information Requests – Not Exempted	Includes all correspondence and documentation relating to request for records that are furnished in public under Public Information Act (chapter 552, Government Code)	AC	1			AC = Date request fulfilled.			
175	1.1.021	Public Information Requests – Exempted from Disclosure	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.			
177	1.1.023	Organization Charts		AV					I	A copy of the primary organization charts of the System at each campus component should be transferred to the appropriate university archives. This would include the organizational charts of the Chancellor, President(s) and Vice-President areas only.	



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189	1.1.024	Plans and Planning Records	Plans and records relating to the process of planning new redefined programs, services or projects of a component that are not included in or directly related to other record series and this schedule.	AC	3				O	AC = Decision made to implement or not to implement results of planning process. PS4025-05b	
677	1.1.024	Data Processing Planning Records - Long and Short Range	Reports, Studies, Analysis.	AC	3			AC = Decision made to implement or not implement results of planning process	O		
321	1.1.026	Texas Register Submission	Copies of all proposed, withdrawn, emergency, and adopted rule; open meeting notices; or any other documents required by law to be submitted to the Texas Register.	AC	1			AC = Date of publication in Texas Register.			
352	1.1.027	Proposed Legislation	Draft of proposed legislation and related correspondence.	AV					O		



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314	1.1.038	Customer Surveys	Surveys returned by the customers or clients of the University and the statistical data maintained rating the Universities performance. May include surveys of the employees, students or other individuals affiliated with the System or the University.	AC	5			AC = final disposition of summary reports.	O	A copy of the survey tool (form) should be retained with a report based on the survey data. See 1.1.067.	
238	1.1.040	Conference Papers and Presentations	Notes or text of conference papers, presentations or reports delivered in conjunction with University work.	AC				AC = End of term in office or termination of service and a state position.	O		
679	1.1.040	Speeches, Papers and Presentations	Notes or text of speeches, papers and presentations delivered in conjunction with University work.	AC				AC = End of term in office or termination of service and a state position.	O		
311	1.1.041	Suggestions System Records	Records of suggestions or other submissions obtained through a suggestion process. May contain suggestion card submissions (electronic or paper) as well as any reports or summaries of the suggestion and associated response.		1						
327	1.1.043	Training Materials	Instructional materials developed by the University for training its entities or individuals it regulates or serves.	US	1						



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680	1.1.043	Training Materials	Instructional materials developed by the University for training entities or individuals it regulates or serves UNTHSC Specific.	FE	5					Settlement with US Office of Inspector General requires FE+5 retention for clinical documentation training and GCAT (General Compliance Awareness Training) materials kept by the UNTHSC Compliance Office.	
353	1.1.048	Litigation Files	Records created by or on behalf of the University in anticipation of or in the adjudication of a lawsuit. Medical Liability Claims and Litigation Files. Records related to threatened or asserted medical litigation or investigation. This series may include but is not limited to: discovery, legal counsel work products, evidence files, exposure records, exhibits, final judgments, correspondence, final records, etc.	AC	1				O	AC = as applicable, decision of the University not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit. ARCHIVES note: cases that set legal precedents or exhibit historical value will be evaluated by the University Archives for Archival preservation.	



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355	1.1.053	Registration Logs	Logs are similar records used to register persons appearing to for state agencies as required by Chapter 2004. Government Code, including quarterly reports filled with the Texas Ethics Commission.	AC				AC = Report filed with the Texas Ethics Commission.			
263	1.1.055	Strategic Plans	Information resources and operational strategic plans prepared in accordance with Government Code 2054.095 and 2056.002.	AC	6			AC = September one of odd numbered calendar years.	I	Copy sent to TSLAC Publications Depository.	
11	1.1.056	Americans with Disabilities Act Documentation	Self-evaluation committee files and plans documenting compliance with the requirements of the Americans with Disability Act.		3						28 CFR 35.105(C).



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328	1.1.057	Transitory Information	Records of temporary usefulness that are not an integral part of a record series of the University, that are not regularly filed within the University's record-keeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the University or in the preparation of an ongoing record series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of University functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hardcopy etc.) are routine messages; telephone message notifications; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation of a specific University transaction.	AC				AC = Purpose of record has been fulfilled.		CAUTION: Records Management Officers should use caution in assigning this record series from number to records of the University to make certain they are not part of another record series listed in this schedule, or for record series unique to the University, are not part of a record series that documents the fulfillment of the statutory obligations of the University or the documentation of its functions. The disposal of transitory information needed not be documented through distraction authorizations (1.2.001) or in records disposition Logs (1.2.010), but agencies should establish procedures governing the records as part of its records management plan (1.2.014).	



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163	1.1.058	Meeting Agenda and Minutes – Official Councils/Committees	Official agenda and minutes of state boards, committees, commissions and councils that conduct open meetings as required by Government Code, Chapter 551.	PM					I	CAUTION: This record series and item numbers: Meetings – Audio or Video Tapes of Open (1.1.060), Meetings – Notes (1.1.061), and Meetings – Supporting Documentation (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 Department entities must be included in the records retention schedule of the administering agency.	
154	1.1.059	Meetings, Certified Agendas and Tape Recording of Closed	Certified agendas or tape recordings of closed meetings of state board, commissions, committees, and councils.	AC	2			AC = The date of the meeting or completion of pending action involving the meeting, whichever is later.		SEE caution comment at retention policy number 1.1.058.	Government Code, 551.104(a).



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166	1.1.060	Meetings – Audio or Videotapes	Audio or Videotapes of open meetings of state boards, commissions, committees and councils.	AC			90	AC = Official approval of written minutes of the meeting by the governing body of an agency.		SEE Caution comment At Meetings Agenda and Minutes – Official Committees (1.1.058). CAUTION: minutes of state agencies are permanent records. Audio and videotapes are not permanent media. State agencies may not retain audio or video tapes of the meetings of governing bodies in lieu of written minutes. The proceedings of all meetings of state boards, committees, commissions and councils must be reduced to writing, Audio or videotape	
165	1.1.061	Meeting Notes	Notes taken during open meetings of state boards, commissions, committees and councils from which written minutes prepared.	AC			90	AC = Approval of the formal minutes by the governing body.		SEE caution comment on Meeting Agenda and Minutes – Official Committees (1.1.058).	



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168	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 Meetings Agenda and Minutes – Official Committees (1.1.058).	
164	1.1.063	Meeting Minutes – Staff	Minutes, or notes, and supporting documentation taken at internal University staff meeting during which formal minutes are taken.		1					Interagency factual data open, opinion and recommendation data confidential.	
356	1.1.064	University Performance Measures Documentation	Any records of the University needed for the documentation of output, outcome, efficiency, an explanatory measures in the University's appropriations request or strategic plan, and for performance measures used to manage the University.	FE	3					CAUTION: The FE +3 retention period overrides any shorter retention period for a record series and this schedule if the record series is needed for documentation of University performance measures.	



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239	1.1.065	Reports and Studies (Non-Fiscal) – Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV						Interagency factual data open, opinion and recommendation data confidential. CAUTION: does not include source documentation used for information or data included in or directly related to another record series and this schedule. SEE item 1.1.064.	
223	1.1.066	Reports - Biennial Or Annual Agency (Narrative)	Biennial narrative reports to the governor and legislature as required by the University's enabling status, including annual narrative reports if they are required by statute.	AC	6			AC = September 1 of odd-numbered calendar years.	P,I	Copy sent to TSLAC Publications Depository. P,I = Transfer to State Publications Depository Program and University Archives.	



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220	1.1.067	Reports – Administrative	Reports and Studies (Non— Fiscal) Annual, sub annual, or special reports or studies on non-physical aspects of the University's programs, services, or projects compelled by University personnel, by advisory committees, or by consultants under contract with the University that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.		3				I	Departments are responsible for keeping the record copy of any reports or studies they prepare, unless the President's Office requests a copy.	
224	1.1.067	Reports – Consultants and Committees	Reports and Studies (Non-Fiscal) Annual, sub annual, or special reports or studies on non-fiscal aspects of the University's programs, services, or projects compiled by University personnel, by advisory committees, or by consultants under contract with the University that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.		3				I	Departments are responsible for keeping the record copy of any reports or studies they prepare, unless the President's Office requests a copy.	



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233	1.1.067	Reports and Studies – Routine or Special (Final)	Reports and Studies (Non-Fiscal) Annual, some annual, or special reports or studies on non— fiscal aspects of the University's programs, services or projects compiled by the University personnel, by advisory committees, or by consultants under contract with the University that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.		3				I	Departments are responsible for keeping the record copy of any reports or studies they prepare.	
234	1.1.067	Reports - Student	Reports and Studies (Non-Fiscal) Annual, sub annual or special reports or studies on nonphysical aspects of the University's program, services or projects compiled by University personnel by advisory committees, or by consultants under contract with the University that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.		5				O	FERPA, Confidential record. Departments are responsible for keeping the record copy of any reports or studies they prepare, unless the President's Office request a copy.	



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235	1.1.067	Reports – Student Exception	Reports and Studies (Non-Fiscal) Annual, some annual or special reports or studies on non-fiscal aspects of the universities programs, services or projects compiled by University personnel, by advisory committees, or by consultants under contract with the University that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.		5				O	FERPA, Confidential record. Departments are responsible for keeping the record copy of any reports or studies they prepare, unless the President's Office request a copy.	
236	1.1.067	Reports – Twelfth Class Day	Reports and Studies (Non-Fiscal) Annual, some annual, or special reports or studies on nonphysical aspects of universities programs, services or projects compiled by University personnel, by advisory committees, or by consultants under contract with the University that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.		5				I	FERPA, Confidential record. Departments are responsible for keeping the record copy of any reports or studies they prepare, unless the President's Office request a copy.	



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230	1.1.068	Reports – Performance Measures to the Legislature	Quarterly and annual reports on University performance measures submitted to the executive and legislative offices.	PM					I		
225	1.1.069	Reports – Activity	Reports compiled by University personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contracts, and similar activities.		1					Interagency factual data open, opinion and recommendation data confidential. SEE item number 1.1.064.	
357	1.1.070	University Policies, and Procedures – Final	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern and agency's programs, services or projects.	AC	3			AC = Completion or termination of program, rules, policies or procedures.	I	SEE ALSO: Agency Rules, Policies and Procedures – Working Files, item number 1.1.070.	



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359	1.1.071	University Rules, Policies, and Procedures – Working Files	Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by the University that sets out the rules, policies, and procedures that govern the university's programs, services, or projects.	AC	3			AC = Completion or termination of program, rules, policies or procedures	O	SEE ALSO item number 1.1.070.	
368	1.1.072	Public Information Reports	Public Reports made to the Attorney General on the agency's Public Information Act activities		2						
369	1.1.073	Administrative Hearings	Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes.	AC	3			AC = Last action.	O		



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370	1.1.074	Sunset Review Report and Documentation	The regular assessment by the legislature of the continuing need for a state agency to exist. This record series may include but is not limited to staff and self evaluation reports and all related correspondence and documentation.	AC	3			AC = After the subsequent Sunset Review.	O		
371	1.1.075	Alternative Dispute Resolutions	Final agreement described by Government Code, 2009.054(c), associated with a matter conducted under an alternative dispute resolution procedure and which personnel of a state agency participated as part on the agency's behalf.	AC	4			AC = Date of final agreement.	O		Texas Civil Practice and Remedies Code, Chapter 154.071.
76	1.2.001	Destruction Authorizations	University level documents authorizing final disposition of records under a certified records retention schedule.	FE	3					Departmental form, Records Management Services holds master record; SEE ACC114 For Institutional Request to Texas State Library and Archives Commission.	



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117	1.2.003	Forms History File	Print masters of original version and all subsequent revisions to the University forms, including any associated design or design modification requests.	AC	1			AC=Discontinuance of use of form.			
116	1.2.004	Forms Inventory	Any periodic listing of all forms used internally or externally by the University	US							
216	1.2.005	Records Retention Schedule (SLR 105)	University Copy. Formerly RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C) and/or other forms designated by the State Records Administrator.	US					I	The original copy is retained by the State and Local Records Management Division of the Texas State Library and Archives Commission.	
217	1.2.006	Records Transmittal Forms - Agency Copy	Forms indicate records transferred to storage or a transfer of legal custody.	AC	2			AC=Date of authorization for destruction, permanent transfer from storage, or transfer to the Archives.			
240	1.2.008	Request for authority to Dispose of State Records (RMD 102) - Agency Copy		FE	3						



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214	1.2.010	Records Disposition Log	Logs or similar records listing records destroyed or transferred to the Archives. This will show the records series title, dates of records, and date destroyed or transferred.		10					Departments should send original copy of logs to the Institutional Records Management Program.	
430	1.2.011	Records Center Storage Approval Forms (RMD 106)	University Copy.	US							
431	1.2.012	Records Inventory Worksheets		US						Units should keep a copy of the inventory after submitting a copy to the Institutional Records Management program.	
432	1.2.013	Records Control Locator Aids.	Includes indexes, card files, shelf lists, registers, guides, etc.	AC				AC=When control aid is updated, revised, or no longer needed.		CAUTION; These records must carry the same retention period and archival code of the records they support.	
215	1.2.014	Records Management Plans	Records management plans and similar records that establish the policies and procedures under which records and information are managed diversity.	US	1				I	The Local Unit will maintain the documents which pertain to their departments records management plan.	
434	1.2.015	Disaster Recovery Service Transmittals (RMD 109)	Also includes documentation for disaster recovery services provided by other entities.	FE	1						



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435	1.2.016	Disaster Recovery Service Approval Form (RMD 113)	Agency copy of form.	AC				AC = Until superseded or termination of service.			



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208	1.3.001	State Publications	Once copy of each state publication as defined in the Appendix of this schedule, except a publication that is subject to a different retention period. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003, which also meet the definition, are closely associated with the appropriations process and must be retained AC +6.	AC	6			AC = Until superseded or obsolete.	I	CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC 3.1 - 3.16). Website retention: Printouts or snapshots of pages with significant changes satisfies the retention requirement.	



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207	1.3.002	Publication Development Files	Background material copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the University.	AV					I	Paper, videotape, audiotape, and film.	



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20	2.1.001	Processing Files		AC				AC = Completion of 3rd update cycle except for: a) broad data input or source file which replaces or serves as the basic source document in lieu of textural or other source document – Follow the retention approved for the equivalent type of textural record or as long as administratively valuable, which ever longer. b) Routine or benchmark data file used in testing a system or program – as long as administratively valuable. c) File which facilitates processing of a particular job or system run, but which does not add to, or substantially modify information in a master file – As long as administratively valuable.		CAUTION: Records Management Officers must be certain before assigning the retention period of AC to agency automated processing files that the files and not fall under record series listed elsewhere.	



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19	2.1.002	Master AC Files	Relatively long – lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC				AC = Completion of 3rd update cycle except for: a) Data file which replaces or serves in lieu of a textual record – Follow the retention. Approved for the equivalent type of textual record. b) Output data file extracted from system solely to produce printed reports or other publications – Dispose of when no longer needed to create report or publication.		CAUTION: Records Management Officers must be certain before assigning the retention period of AC to agency automated master files that the files do not fall under the exception noted in (a).	
256	2.1.007	Software Program and Job Control Language	Automated software applications and operating system files including job control language, program listings/sores code, etc.	AC				AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read.		CAUTION: If an electronic record is scheduled for permanent retention, software needed for access to the record must also be retained permanently.	13 TAC 6.97(a)



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681	2.1.007	Documentation – Automated Applications		AC	3			AC = Documentation required to retrieve and read any electronic records maintained by the computer system must be retained as long as the approved retention schedule for the electronic records.			13 TAC 6.97(a).
124	2.1.008	Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC				AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read.		CAUTION: If and electronic record is scheduled for permanent retention, documentation needed for access to the record must also be retained permanently.	13 TAC 6.97(a).



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317	2.1.009	Technical Documentation	Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorize disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or subsystem definitions, system specifications, input and output specifications, and system flowcharts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs any: and data documentation necessary to access, retrieved, manipulate and interpret data in an automated system such as a data element dictionary, file layout, codebooks or table and other records that explain the meeting, purpose, structure, logical relationships, and origin of the data elements.	AC				AC = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read.		CAUTION: If an electronic record is scheduled for permanent retention, technical documentation needed for access to the record must also be retained permanently.	13 TAC 6.97 (a).



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17	2.1.010	Audit Trail Records	Files needed for electronic data audit such as files or reports showing transactions excepted, rejected, suspended and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC				AC = All audit requirements have been met.			
112	2.1.011	Finding Aids, Indexes, and Tracking Systems	Automated indexes, lists, registers and other finding aids used provide access to records.	AC				AC = Related hardcopy or electronic records have been destroyed.		CAUTION: These records must carry the same retention period and archival code of the records they support.	
316	2.2.001	System Monitoring Records	Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.	AV							
58	2.2.002	Computer Utilization Records	Chargeback records to date processing services users. Records used to document, calculate costs and Bill program units or computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.	FE	3						



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57	2.2.004	Computer Job Schedules and Reports	Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers work performed.			3					
441	2.2.010	Data Processing Policies and Procedures	Manuals, guidelines, or similar documents establishing data processing policies and procedures in University in such areas as access security, systems development, data retention and disposition, data ownership, production scrolls, system backup, etc.	US	3					CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records.	
22	2.2.011	Batch Data Entry Control Records	Forms and logs used to reconcile batches submitted for processing against batches received and processed.	FE	5						
178	2.2.012	Output Records for Computer Production	Reports showing transactions that are accepted, rejected, suspended, and or processed.	AV							



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210	2.2.013	Quality Assurance Records	Information verifying the quality of system, hardware, or software operations including records of errors for failures and the loss of data resulting from such failures, documentation of abnormal termination and of error-free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy.	AC				AC = No longer needed as an audit trail for any records modified.			
444	2.2.014	Internet Cookies	Data resident on hard drives that make use of user specific information transmitted by the Web server into the user's computer so that the information by be available for later access by itself or other servers.	AV						The disposal of Internet cookies need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	



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445	2.2.015	History Files – Websites	A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generate a record of usage of the state owned a computer.	AV						The disposal of history files need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	
446	2.2.016	Software Registrations, Warranties and License Agreements		LA	3						
13	3.1.001	Application for Employment – Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.		3					Although the Texas State Retention is 2 years, UNT retention. (3 years) is based on advice of legal counsel.	29 CFR 1602.49(a) (State Universities)



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12	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.			
84	3.1.006	Employee Counseling Records	Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisory level except in those agencies would counseling staff.	AC	3			AC = Termination of counseling.			
88	3.1.011	Employee Insurance Records	University copies of information relating to the selection by employees/retirees of life, disability, health, and other types of insurance offered by the UNT System to its employees.	AC				AC = Until superseded or termination of employment.		CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	
94	3.1.012	Employment Opportunity Announcements	Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.		2						29 CFR 1602.49(a).



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					Years	Months	Days				
92a	3.1.013	Employment Contracts	Includes faculty and administrative/professional appointment letters. (a) Executed, renewed, or amended on or after September 1, 2015.	AC	4			AC = Expiration or termination of the contract according to its terms.			
92b	3.1.013	Employment Contracts	Includes faculty and administrative/professional appointment letters. (b) Executed, renewed, or amended on or before August 31, 2015.		4		AC	AC = Expiration or termination of the contract according to its terms.			Government Code, 441.1855. 26 CFR 516.5.
95	3.1.014	Employment Selection Records	Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving record and previous injury checks, pre-employment physical examinations, 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 (a)



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123	3.1.018	Grievance Records	Records relating to the review of employee grievances against personnel policies, working conditions etc.	AC	3			AC = Grievance settled.		Open unless clearly unwarranted invasion of personal privacy. Retention. By advice of legal counsel. CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office of the US Department of Labor. SEE item number 1.1.048. Human Resources for staff. President, provosts, Hearing Committees and Academic Department for Faculty.	
465	3.1.018	Grievance Records	Nondiscrimination ADA (Americans With Disabilities Act).	AC	3			AC = Separation of employment for faculty and staff.		AC = Date of last attendance for students. Human Resources retains the documentation for Faculty and Staff. Office of Disability Accommodation retains records for students.	



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184	3.1.019	Performance Appraisals	Evaluations completed that are used to measure and rate employee performance.	AC	3			AC = Appraisal completed.		Open unless clearly unwarranted invasion of personal privacy. Tenure documentation can extend over 6 years. 29 CFR 1620.32(c).	
467	3.1.020	Personal Corrective Action Documentation	Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	AC	5			AC = Termination of employment.		CAUTION: If, during the retention period of this record series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from the series used to support disciplinary action must be retained for the minimum retention period described by item number 3.1.021.	



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186	3.1.021	Personnel Disciplinary Action Documentation	Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the University, or the employee workforce, and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self – improvement efforts, as well as favorable or unfavorable communication.	AC	5			AC = Termination of employment.		Open unless clearly unwarranted invasion of personal privacy.	



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188	3.1.022	Personnel Information and Actions Forms	Forms or similar records used to place a new employee on the budget or to change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment, biographical data sheets, employee separation forms, exit/clearance forms, notifications of intent to hire faculty candidates, name change forms, and position audit documentation.	AC	6			AC=Termination or separation from university.		If person leaves, then returns, retention clock restarts if records still exist. Open unless clearly unwarranted invasion of personal privacy. 29 CFR 1602.31 [State agencies]. 29 CFR 1602.49(a) [State Universities].	
202	3.1.023	Position/Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in the University.	AC	4			AC = Until superseded or job eliminated.			
468	3.1.024	Physical Examination/Medical Reports	Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.	AC	2			AC = Until superseded or termination of employment.		CAUTION: does not include pre-employment physical examinations. SEE: item number 3.1.014.	



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66	3.1.026	Criminal History Checks	Criminal history record information obtained for job applicants, University employees, camp or related event.	AC				AC= The criminal history record has served the immediate purpose for which it was obtained; i.e., for UNT, once a non-adverse result has resulted from the check.		See Subchapter F, Chapter 411, Government Code (411.094 for institutions of higher education). For UNT, the Human Resources Department conducts background checks for staff; Business Support Services and Risk Management Services conducts background checks for camps and related events; the Career Center conducts background checks for student employees; the Provost's Office conducts background checks for faculty.	
652	3.1.026	Criminal History Checks – Authorization Forms for STAFF positions	This series documents they retention of forms used to authorize a UNT business unit to conduct a criminal history check upon an individual who has applied for a staff position. This series does not include results for the criminal history check.	AC	3			AC = Separation from employment at UNT.		Results of a criminal history check should not be retained under this record series (SEE UNT Item #66 – Criminal History Checks). Retention for the authorization form follows UNT HR internal practice.	



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653	3.1.026	Criminal History Checks – Adverse Results	This series documents the retention of criminal history checks which have produced adverse results that are used as a basis for employment denial. This series can include authorization forms and associated results.		2					Records are maintained for 2 years from the date of the adverse result. Criminal history results associated with persons not hired, but did not produce an adverse result are disposed as soon as the position is filled. Non-adverse results of a criminal history check should not be managed under this record series (SEE UNT item Was item #66 – Criminal History Checks). Retention follows UNT practice.	
655	3.1.026	Criminal History Checks – Authorization Forms for camper related event personnel	This series documents the retention of forms used to authorize a UNT business unit to conduct a criminal history check upon an individual who has applied for a position within a camp/related events. This series does not include results for the criminal history check.	AC	1			AC = Authorization forms for/related event positions are maintained until the end of the session for which they were obtained.		Results of a criminal history check should not be retained under this record series (SEE UNT Item #66 – Criminal History Checks). Retention for the authorization form follows UNT Business Services internal practice.	



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656	3.1.026	Criminal History Checks – Authorization Forms for FACULTY positions	This series documents the retention of forms used to authorize a UNT business unit to conduct a criminal history check upon an individual who has applied for a faculty position. This series is not include results for the criminal history check.	AV						Results of the criminal history check should not be retained under this record series (SEE UNT Item #66 – Criminal History Checks). Retention for the authorization form follows UNT internal practice. The authorization forms for faculty are imaged and retained permanently by the Provost's Office.	
657	3.1.026	Criminal History Checks – Authorization Forms for STUDENTS EMPLOYEE positions	This series documents the retention of forms used to authorize a UNT business unit to conduct a criminal history check upon an individual who has applied for a student employee position. This series does not include results for the criminal history check.		1					Results of a criminal history check should not be retained under this record series (SEE UNT Item #66 – Criminal History Checks). Retention for the authorization form follows UNT Career Center practice.	
326	3.1.027	Training and Education Achievement Records (Individual)	Certificates of completion, transcripts, test scores or similar records documenting the training, testing or continuing education achievements of an employee (including public safety officers).	AC	5			AC = Termination of employment.		AC = Termination of employment. Local Schedule GR1050-28a; PS4325-01 (exception note).	



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93	3.1.029	Employment Eligibility, Documentation or Verification of		AC	3			AC = Termination of employment.		CAUTION: Federal regulation requires that INS I-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, which ever is later. Agencies should make certain that the INS I-9 forms for employees who terminate from the University less than 3 years from date of hire are For the 3 year retention period.	CFR 274a.2(b)(2)(i)(A) and (c)(2).
470	3.1.031	Employee Benefits – other than insurance	University copies of information relating to the selection of available benefit options other than insurance.	AC	2			AC = Until superseded or termination of employment.		CAUTION: documents that service payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	



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249	3.1.034	Resumes – Unsolicited	Retention period applies if the University replies to the sender of a resume that it will be kept on file should future job openings occur.	AV						Retention period applies if agency replies to the sender of a resume that it will be kept on file should future job openings occur. SEE Employment Selection Records (3.1.014) for retention period of resumes, whether solicited or unsolicited that are used in any way employment selection process.	
31a	3.1.035	Performance Bonds	Bonds posted by employees and individuals or entities under contract with the University for the performance of the duties of a position or the terms of a contract with the University. (a) Execute, 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



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					Years	Months	Days				
31b	3.1.035	Performance Bonds	Bonds posted by employees and individuals or entities under contract with the University for the performance of the duties of a position or the terms of a contract with the University. (b) Execute, 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
472	3.1.037	Employee Recognition Records	Awards, Incentives, Tenure, Etc.	AC	5			AC = Termination of employment.			
473	3.1.038	Public Access Option Form	Form completed and signed by employee or official, or employee or official, electing to keep home address, home telephone number, Social Security number, and family information open or confidential under the Public Information Act, Government Code 552.024.	US						SEE Item # 3.3.011.	



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664	3.1.039	Ombuds Records	Consultation records, notes, letters, memos, emails, reports and other documentation.	AC				AC = Final decision or matter closed.		If no activities made on a particular case for 30 days, the Ombuds consider the case to be closed. CAUTION: Does not include formal complaint filed with the EEO. If matter becomes a grievance or the subject of counseling litigation, or employee is subject to disciplinary action, the records are subject to retention in the appropriate record series. SEE 1.1.048, 3.1.006, 3.1.018, 3.1.020, and 3.1.021.	
85	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, which ever sooner.			



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86	3.2.002	Employee Earnings Records	Documentation of employee earnings. Records May Include but Are Not Limited to: Payroll Earnings Registers, Alpha Register, Check Distribution, Check Register, Employee Name Sequence, Daily Transactions, Checks issued for the month, Earnings Statement, Canceled Checks and Online Adjustments, Monthly Detail of Close out.		4						49 TAC 815.106(i)



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110	3.2.003	Federal Tax Records	The series provides a summary record of data reported on the annual wage and tax statements for agency employees, corrections to the statements, and a record of transmittal to the federal government. Records include printouts from the agency by year and Social Security number order which include names, Social Security numbers, tax subject earnings, other data required by the law, summary transmittal forms, and FICA records. Forms may include 1099, W-2, FICA, and other tax records.	AC	7			AC = Tax due date, date claim is filed or date tax is paid, whichever is later.		7 year retention based on UNT internal practice.	26 CFR 31.6001-1. IRC Section 6531 Title 26-Internal Revenue Cod.
129	3.2.004	Income Adjustment Authorization	Used to make increases decreases to employee's gross pay, FICA, retirement, or in the computation of taxes.		2						28 CFR 516.6(c).
339	3.2.005	W-4 Forms	Employers Copy of Employee Withholding Exemption Certificate	US	4						26 CFR 31.3001-1(3)(2).



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340	3.2.006	Wage Rate Tables	Wage/rate tables for employees (salary ranges, positions, etc.). May include survey data compiled for the creation of a pay plan.		2					Wage, Salary compensation Study (2008). Also called pay plan. Both electronic and paper records kept for 2 years.	29 CFR 516.6(a)(2).
331	3.2.007	Unemployment Claims/Compensation Records		AC	5			AC = After payments to former employee ceases.			
78	3.2.008	Direct Deposit Applications/Authorization	Applications and authorizations from employees giving permission to the agency directly deposit funds into specified bank account.	US							



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259	3.2.009	State Deferred Compensation Records		AC	5			AC = All accounts with a vendor or vendors for the individual participant have been closed. For instructions regarding the determination of the closure of accounts and additional information regarding the retention period see the most current edition of the Agency Coordinator Procedures Manual issued by The Employees Retirement System of Texas.			
128	3.2.010	Human Resources Information System (HRIS) Reports	Includes supporting documentation	AC	4						
9	3.3.001	Affirmative Action Plans	Affirmative action plans for both regular employees and apprenticeship programs.		6						29 CFR 30.8(e) for Apprenticeship plans.



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23	3.3.004	Benefit Plans/Group Insurance	Employee benefit plans such as pension, life, health, and disability insurance; deferred compensation, etc.; including amendments.	US	3						29 CFR 1627.3 (b)(2).
148	3.3.010	Labor Statistics Reports	Reports providing statistical information on labor force.		3					Electronic Versions into Bureau Of Labor Statistics	
187	3.3.011	Former Employee Verification Records	Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC	75			AC= Termination of employment.		Open unless clearly unwarranted invasion of personal privacy. Electronic version is kept in EIS.	
201	3.3.015	Positions/Job Classification Review file	Records relating to review and monitoring of job classifications within the University.	US	3						
341	3.3.020	Work Schedules/Assignments	Work, duty, shift, crew, or case schedules, rosters, or assignments.		2						
476	3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the University from TWC or its predecessor pertaining to employees.		3						



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219	3.3.023	Reimbursable Activities, Requests and Authorizations to Engage in	Requests and authorizations for travel; educational programs, workshops; or for other work-related activities for which the expenses are defrayed or reimbursed.	FE	3					SEE Item 246 for Employee Tuition Exemption and Assistance. SEE 4.7.008 for fiscal records for federal grants. Currently, official copies of Travel Vouchers are maintained by Purchasing and Payment Services - the local unit may choose to maintain a convenience copy of the travel voucher.	
246	3.3.023	Employee Tuition Exemption and Assistance	Applications for and supporting documentation evidence the grant of tuition exemptions or assistance. This series may include but is not limited to, employment waivers for out of state tuition, authorizations, tuition benefits, and related documentation.	FE	3					FERPA, confidential record. SEE 4.7.008 for fiscal records for federal grants.	
477	3.3.024	Personal Policies and Procedures	Any internally distributed manuals, guidelines, or similar records that define university wide policies and procedures concerning the personnel of the University.	US	3					Paper and electronic versions kept.	



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					Years	Months	Days				
478	3.3.025	Job Procedure Records	Any documents detailing the procedural duties and responsibilities of the University positions on a position – by – position basis.	US	3					Departmental level job description for individual position.	
89	3.3.026	Agency Staffing Reports	Employee Listings. Detailed listings of employees within organizational structure. 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, position vacancies, analysis of turnover rates and seasonality of employment, etc.	US	3						
479	3.3.027	Aptitude and Skills Tests	Aptitude or skills test required of job applicants or of current personnel to qualify for promotion or transfer.	US	2					CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for period indicated.	29 CFR 1602.49 (State Universities). 29 CFR 1602.31 (State Agencies)



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					Years	Months	Days				
480	3.3.028	Aptitude or Skills Tests (Test Papers)	Aptitude and skills test papers of job applicants or of current personnel taking a test to qualify for promotion or transfer.		2						29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49 (State Universities).
481	3.3.029	Aptitude and Skills Tests (Validation Records)	Records of the validation of aptitude and skills test.	AC	2			AC = As long as the test is used by an agency.			29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49 (State Universities).
482	3.3.030	Training Records – Instructional Materials	Instructional materials associated with in-house training of University personnel on personnel policies and procedures and other policies and procedures that govern the University's programs, services or projects	US	2					SEE 3.3.030 #168 for training administration records including attendance. CAUTION: Does not include hazardous materials training records. SEE Item number # 5.4.007.	



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483	3.3.030	Training Administration Records	Includes but is not limited to training attendance records and other records associated with in-house training of university personnel on personnel policies and procedures and other policies and procedures that govern the University's programs, services, or projects.	FE	5					Instructional materials are kept US+2. Attendance records are kept FE+5. SEE 3.3.030 for instructional materials used in training. CAUTION: Does not include hazardous materials training records. SEE item number 5.4.007.	
82	3.3.031	EEO Reports and Supporting Documentation	Includes documentation used to complete EEO reports.		3						29 CFR 1602.30, 1602.32, 1602.39, 1602.41, 1602.48 and 1602.50.
98	3.3.032	Equal Pay Records	Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the Federal Equal Pay Act.		3						29 CFR 1602.32(C).



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7	3.4.001	Accumulated Leave Adjustment Requests	Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances on August 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE	5						
149	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3					See note 1,	40 TAC 815.106(i).
323	3.4.003	Time and Leave Records, Less Than Full-Time Worked Reports	Dates and hours.	FE	5					40 TAC 815.106(i).	
179	3.4.004	Over Time Authorizations		FE	5					Retention is also based on requirements listed in the Federal Student Assistant General Provisions Record Retention and Examinations. SEE note 1.	34 CFR 668.24:
180	3.4.005	Overtime Schedules		FE	5						



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324	3.4.006	Timecards and Timesheets	A record of the number of hours worked and the number of hours taken as leave.	FE	5					Retention is also based on requirements listed in the Federal Student Assistance Gen. Provisions 34 CFR 668.24: Record Retention and Examinations.	40 TAC 815.6(i).
325	3.4.007	Time Off and/or Sick Leave Requests	This series may include but not be limited to Leave Request Forms, Electronic Time Adjustment Approval Requests and other supporting documentation.	FE	5					Includes requests for outside education during working hours. SEE ALSO 3.4 – Agency Item Number 484 for FMLA (Family Medical Leave Act) records.	
254	3.4.008	Sick Leave Pool Documentation	Request submitted, approvals, number of hours transferred in and out, etc.	FE	3						
4	4.1.001	Accounts Payable Information	This series documents agency's and expenditures and purchases. Records may include but are not limited to: departmental purchase orders; contract release orders; balance sheets; bills; invoices; invoice vouchers; journal vouchers/entry forms; price quotes; and related documentation and correspondence.	FE	5					Retention is based on requirements listed in the Federal Student Assistance General Provisions 34 CFR 668.24: Record Retention and Examinations.	



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25	4.1.002	Billing Detail	Provide itemized billing record for services rendered.	FE	5					CAUTION: Does not include long-distance details were telephone billing. SEE item number 5.5.001, 5.5.006, and 5.5.007. Retention is also based on requirements listed in the Federal Student Assistance General Provisions 34 CFR 668.24: Record Retention and Examinations.	
40	4.1.003	Canceled Checks/Stubs/Warrants/Drafts	This consists of canceled checks issued for authorize payments or refunds.	FE	5					Retention is also based on requirements listed in the Federal Student Assistance General Provisions 34 CFR 668.24: Record Retention and Examinations.	
96	4.1.004	Encumbrance Detail	Documents that hold(s) placed on funds for payment of services.	FE	3						
137	4.1.005	Inventory and Other Cost Files	Production, job, labor, quotes, pricing, specifications etc.	FE	3					SEE note 1; use for merchandise.	



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143	4.1.006	Investment Transaction Files	Transfer of funds between chart field strings or between account numbers. This records series may contain but not be limited to cover sheet, supporting documentation and expenditure vouchers.	FE	3						
329	4.1.007	ABA Transactions		FE	3					Please see Retention Policy #135 for Interdepartmental Orders and #136 for Interdepartmental Transfers.	
486	4.1.008	Electronic Fund Transfers	Direct Deposit Registers.	FE	3						
43	4.2.001	Cash Deposit Vouchers	Cash deposit slips.	FE	3					Departmental CAUTION Statement: Internal Audit will expect the department to maintain this documentation in the event of an audit, rather than the institutional processing office. (i.e. Student Accounting)	
44	4.2.002	Cash Receipts	Includes receipts for fees (permits, licenses, renewals, etc.).	FE	3						
68	4.2.003	Daily Cash Receipts Log		FE	3						



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97	4.2.004	Encumbrance Vouchers	Orders, statements, change orders, etc.	FE	3						
209	4.2.005	Purchase Orders, Reports, Documentation	Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	5					Retention is based on requirements listed in the Federal Student Assistance General Provisions Record Retention and Examinations.	Government Code, 441.1855
120	4.2.006	General Journal Voucher	A record of budget entries and transfers of funds between an agency's budget.	FE	5					Retention is also based on requirements listed in the Federal Student Assistance General Provisions 34 CFR 668.24: Record Retention and Examinations.	
490	4.2.007	Expenditure Vouchers	Travel, Payroll, Etc.	FE	3					SEE 4.7.008 for fiscal records for federal grants.	
146	4.3.001	Sales Journals or Registers		FE	3						
145	4.3.002	Receipts Journals or Registers		FE	3						
144	4.3.003	Expenditures Journals or Registers		FE	5					Retention period based on federal program requirements. State Retention is FE+3.	
152	4.4.001	General and Subsidiary Ledgers		FE	3						



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					Years	Months	Days				
151	4.4.002	Accounts Receivable Ledgers		FE	5					Retention is also based on requirements listed in the Federal Student Assistance General Provisions 34 CFR 668.24: Records Retention and Examinations. SEE 4.7.008 for fiscal records for federal grants.	
150	4.4.003	Accounts Payable Ledgers		FE	5					Retention is based on requirements listed in the Federal Student Assistance General Provisions 34 CFR 668.24: Record Retention and Examinations.	
491	4.4.004	Employee Savings Bond Ledgers		FE	3					Federal Reserve no longer sends out ledgers. EIS shows information was employee records.	
237	4.5.001	Worksheets for Preparing Fiscal Reports	This record series consists of the supporting documents of the financial status of the specific entity concerning its operation for the preceding year.	FE	3						



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228	4.5.002	Internal Fiscal Management Reports	Includes University monthly budget reports.	FE	3					Accounting is responsible for the record copy of monthly ledgers sent to each department. Departments may produce their own internal fiscal management reports and are responsible for keeping the record copy of those.	



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					Years	Months	Days				
222	4.5.003	Annual Financial Reports	Required by the General Appropriations Acts (100 day Report)	AC	6			AC = September 1 of odd-numbered calendar years.	I	CAUTION: many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101-441.106). For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas state library And Archives Commission (13 TAC 3.1 - 3.16).	
227	4.5.005	External Fiscal Reports	Special-purpose – i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE	3						
495	4.5.006	Annual Operating Budgets	Required by the General Appropriations Act.	FE	3						



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496	4.5.007	USAS Reports - Daily		AC				AC= Receipt and reconciliation of monthly report.			
497	4.5.008	USAS Reports - Monthly		AC				AC=Receipt and reconciliation of annual report.			
498	4.5.009	USAS Reports - Annual		FE	3						
170	4.6.001	Balancing Records		FE	3					Includes monthly financial reports.	
213	4.6.002	Reconciliations		FE	3					Non-federal records are kept FE +3; records for federal accounts for FE+6. Internal Audit will expect be Department to maintain this documentation in the event of an audit, rather than the institutional processing office (i.e. Financial Accounting).	
42	4.6.003	Cash Counts		FE	3						
3	4.7.001	Accounting Policies and Procedures Manual	Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the accounting function of an agency.	US	3						



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21	4.7.002	Bank Statements	Periodic statements of bank balances containing information showing income and outgoings on a bank account.	FE	5					Retention is also based on requirements listed in the Federal Student Assistance General Provisions 34 CFR 668.24: Record Retention and Examinations.	
499	4.7.003	Return Checks/Warrants/Drafts (Uncollectible)	This record series documents attempts to collect monies for non-negotiable (usually non-sufficient funds) checks received for payment to University accounts. Records consist of master list of checks returned to the agency and may contain names; addresses; telephone numbers; banks upon which checks were drawn; reasons for return; and notations of any prior activity.	AC	3			AC = After deemed uncollectible.			
41	4.7.004	Capital Asset Records		LA	4					Retention period by advice of legal counsel.	
48	4.7.005	Claim Files		AC	3			AC = Resolution of claim.		Will be retained at least 3 years following the resolution of the claim.	



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54	4.7.006	Comptroller Statements	Statements issued by the Comptroller's Office including statements of assurance, financial integrity statements, statements and response to proposals, etc.	FE	3						
77	4.7.007	Detailed Chart of Accounts	A list of accounts used by an organization with each account usually assigned a number or a code.	FE	3						
109	4.7.008	Grant Records (Federal and State)	This series documents state and federal grant projects participated in or administered by state agencies. It includes grant authorization records, which provide evidence of the award of grants to or by agencies; grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by agencies.	AC	3			AC=Terms of the grant and/or satisfaction of all uniform administrative requirements for grants and cooperative agreements to state and local governments (The Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that records are retained for the appropriate retention period.	



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500	4.7.009	Fixed Asset Sequential Number Logs	This record series documents lists of identification numbers assigned to the fixed assets owned by an agency to be used in the process of tracking and accounting for those assets.	US	3						
157	4.7.010	Tax-Exempt Bond Issuance/Post Issuance Compliance Records		AC	3			AC = Final retirement of bond.			
121	4.7.011	Texas Facilities Commission Statements (TFC)	Charge or bill statements received by agencies from the TFC for services provided.	FE	3						Government Code, 441.1855 Senate Bill 20
255	4.7.012	Signature Authorizations	Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	AC	3			AC=US+FE			



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59a	5.1.001	Contracts and Leases	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide. (a) Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the instrument according to its terms.		SEE related item numbers 3.1.035 Performance Bonds and 5.3.007 Bid Documentation. SEE item number 5.2.028 for building construction contracts and 5.1.017 for contract logs.	Government Code, 441.1855. Senate Bill 20



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					Years	Months	Days				
59b	5.1.001	Contracts and Leases	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide. (a) Executed, renewed, or amended on or after September 1, 2015. (b) Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the instrument according to its terms.		SEE related item numbers 3.1.035 Performance Bonds and 5.3.007 Bid Documentation. SEE item number 5.2.028 for building construction contracts and 5.1.017 for contract logs.	Government Code, 441.1855. Senate Bill 20
74	5.1.003	Delivery Reports			2						
159	5.1.004	Mail and Telecommunication Listings	Any mailing address, telephone or fax number, or email address records maintained by the University on its employees or on entities or persons it serves.	US							



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					Years	Months	Days				
203	5.1.005	Postage Records	Records and reports of postage expenses, deposits and receipts for postage. Postal meter usage reports.	FE	3						
247	5.1.007	Requisition for – Agency/Enter – Agency Copy/Printing Service	Includes word processing and data processing.			2					
507	5.1.010	Licenses and Permits for Non-- Vehicles	Does not include licenses and permits issued by an agency as part of its statutory responsibilities.	AC	2			AC = After expiration date.			
508	5.1.011	Photo Copier and Fax Usage Logs and Reports		FE	6						
47	5.1.012	Charge Schedules/Price Lists	Schedules of prices charged by the University for services to the public or other agencies including any documentation used to determine the charges.	US	3						
133a	5.1.013	Insurance Policies	For vehicles, equipment, etc. (a) Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of policy according to its terms.			Government Code, 441.1855 Senate Bill 20
133b	5.1.013	Insurance Policies	For vehicles, equipment, etc. (b) Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of policy according to its terms.			Government Code, 441.1855 Senate Bill 20



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					Years	Months	Days				
173	5.1.014	Office Procedures	Any internally distributed manuals, guidelines, or similar records that establish standard office procedures for the University; for example, University style manuals, telephone protocols, mailroom procedures, print shop and photocopy ordering instructions.	US	1						
62	5.1.015	Correspondence Tracking Records	Any record created by the University to track any type of incoming and outgoing correspondence or packages by the US Postal Service or by private couriers.		2						
509	5.1.017	Contract Log	List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE	3						
14	5.2.001	Appraisals – Building or Property		AV					O		



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37	5.2.002	Building Construction Project Files	Planning, design, and construction record; accepted and rejected bids; correspondence; etc.	AC	10				I	Retention based on legal requirements to verify safety factors. SEE ALSO 5.2.003 and 5.2.028. State Retention is AC +10. AC being the completion of the project.	
514	5.2.003	Building Plans and Specifications	Includes architectural and engineering drawings, profiles, and blueprints.	LA	4				O	University owned building plans and specifications should be retained for the life of the asset. Building plans and specifications for leased buildings should be retained for 2 years after the termination/end of the lease. SEE ALSO item numbers 5.2.002 and 5.2.028. ARCHIVES NOTES: Archival review designation is for state owned buildings only. Facilities Management handles records for owned buildings. Facilities Planning also has records for leased space.	
38	5.2.004	Building Space Requests			1						



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39	5.2.005	Calibration Records (Equipment or Instrument)			10					Calibrations for non-radiological equipment are retained for 10 years. Retention for radiological equipment is AC, where AC = the termination of the license or registration [based on requirements for showing calibrations of instruments used in surveys in TAC 289.202(ggg)(5) subsection (nn)(1)].	
206	5.2.006	Property Destruction, Certificates of		FE	3						
69	5.2.007	Damage Reports	Reports of damage to state property.	FE	3						
56	5.2.008	Equipment History File	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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100	5.2.009	Equipment Inventory Detail Report Forms	Updates University portion of the inventory listing and adds, changes, transfers or deletes items from inventory.	FE	3					For departments, retention period is FE for equipment that is deleted from inventory, as in Deletion Request for Obsolete, Unserviceable, Surplus or Cannibalize Property. Departments only need to keep forms to the end of fiscal year in which property was removed from department's inventory.	
101	5.2.010	Equipment Manuals		LA							
102	5.2.011	Equipment Warranties		AC	1			AC = Expiration of warranty.			
103	5.2.012	Estimate Files (Supply and Cost Repair Estimates)			1						
140	5.2.014	Inventory (Annual Physical)	Property, equipment supply verification	FE	3						
141	5.2.015	Inventory, Notices of Equipment Removed Form	This series documents changes in state owned property; request to declare items as surplus, salvage, or scrap. Records may include related documentation and correspondence.	FE	3						



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139	5.2.016	Inventory System Update Listings	Listings shows all additions, changes, deletions, and transfer time for the monthly processing period.	AC				AC = Transfer of information into annual listing.			
158	5.2.017	Lost and Stolen Property Reports		FE	3						
515	5.2.018	Quality Control Reports			2						
312	5.2.020	Supply Usage Records	This series is used to document supply usage and charges. This series may include but is not limited to: stock printouts; inventory report; and related documentation and correspondence.	FE	1						
313	5.2.021	Surplus Property Sales Reports	This record series consists of a list of surplus equipment which is advertised, and consequently sold at public auction. The information may include but not be limited to an Agreement for Auctioneer Services; advertising documents; Terms and Conditions of Sale; a financial report of money received for item sold at auction, and related documentation and correspondence.	FE	3					Includes Lost and Found Auction; see note 1.	
332	5.2.022	Utility Usage Reports		AV							



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344	5.2.023	Year to Date Activity (Inventory Listing)	Shows additions, changes, transfers, and deletions of information within the inventory system. Data include University, division, tag number, batch, documents, transaction date, location, item code, description, date, and cost.	FE	3						
516	5.2.024	Materials Specifications		AC	2			AC = Material is no longer in the agency.			
517	5.2.025	Equipment Descriptions and Specification		AC	2			AC = Equipment is no longer in the agency.			
106	5.2.026	Facilities Reservation Logs	Reservation logs or similar records relating to the use of University facilities such as meeting rooms, auditoriums, etc.		2					Includes classroom registration lists	
257	5.2.027	Space Utilization Reports		AV							
35	5.2.028	Building Construction Contract and Inspection Records	Building construction contracts, surety bonds, and inspection records.	LA	10				O	Construction contracts for new buildings. SEE ALSO item numbers 5.2.002 and 5.2.003.	
118	5.3.002	Freight Bills Paid		FE	3						



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119	5.3.003	Freight claims	This record series consists of documentation relating to a demand upon a carrier for cargo loss or damage or for the repayment of an overcharge.	AC	2			AC = Resolution of claim.			
176	5.3.004	Order - Acknowledgments	This record series consists of customer notification that their order was received by the supplier.	AV							
181	5.3.005	Packing Slips	This series documents the receipt of equipment, supplies, other items and services from vendor. The series includes; packing slips; shipping and container lists; and bills of lading.	AV							



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24a	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. a) 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.		CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. NOTE: see Contracts and Leases (5.1.001) and Building Construction Contract and Inspection Records (5.2.028).	Government Code, 441.1855 Senate Bill 20
24b	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. b) Associated with a contract executed, renewed, or amended on or before August 31, 2015.	FE	3					CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. NOTE: see Contracts and Leases (5.1.001) and Building Construction Contract and Inspection Records (5.2.028).	Government Code, 441.1855 Senate Bill 20



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24c	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. c) Unsuccessful bids that do not meet agency submission requirements and are not included in bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.).	AC	2			AC=Date of notification of denial or date of withdrawal, as applicable		CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. NOTE: see Contracts and Leases (5.1.001) and Building Construction Contract and Inspection Records (5.2.028).	Government Code, 441.1855. Senate Bill 20
521	5.3.008	Purchasing Logs	Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE	3					All documentation relating to a particular purchase order is attached to the purchase order.	
522	5.3.009	Requests for Information	Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC				AC = Decision not to proceed with procurement.		CAUTION: If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with item number 5.3.007.	



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2	5.4.001	Accident Reports and Associated Documentation (Employee and Patient)		AC	5			AC=Case closed out.		Record confidential while in litigation. Retention period by advice of legal counsel when residual effects are a possibility e.g., hazardous materials, records are kept 30 years.	
130	5.4.001	Injury Frequency Reports/Loss Reports	This records series documents records produces to report injuries to employees, students and visitors on campus.	CE	5						
342	5.4.001	Workers Compensation Reports		CE	5					29 CFR 1904.6.	
683	5.4.001	First Report of Alleged Accident or Occupational Disease		AC	5			AC = Case closed out.			
104	5.4.002	Evacuation Plans	Plans for evacuation of University facilities in case of emergency.	US							



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131	5.4.003	Inspection Records	Fire, safety, and other inspection records of University facilities and equipment. Includes, but is not limited to: texting records, fire alarm certificates (new buildings), certification of asbestos-free building (new buildings).	AC	4			AC=Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency.		Includes entry control device testing for very high radiation areas. CAUTION: Does not include inspection reports of building construction. SEE item number 5.2.028. Health & Safety Code 502.009(g).	
115	5.4.004	Fire Orders	Orders issued by Fire Marshal to correct deficiencies in compliance with fire code.	AC	3			AC=Deficiency corrected.			
126	5.4.007	Safety Training/Certification - Hazardous Materials	Records of training given employees in an agency hazard communications program. Includes radiation safety, chemical safety, and biological safety/blood borne pathogens.		5						Texas Health and Safety Code 502.009(g).
125	5.4.008	Hazard Communications Plans		US	5						Texas Health and Safety Code 502.009(g).
343	5.4.009	Workplace Chemical Lists	Controlled Substance Drug Logs/DEA Forms/Chemical Inventories.		30						Texas Health and Safety code, 502.005(g).



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160	5.4.010	Material Safety Data Sheets		AC						AC=After sheets are updated or hazardous chemical no longer stored by agency, as applicable.	
336	5.4.011	Visitor Control Registers	Logs, registers or similar records documenting visitors to limited access or restricted areas of University facilities.		3						
87	5.4.012	Employee Identification		AC	4			AC=Termination of employment.			
90	5.4.012	Security Access Records	Records related to the issuance of keys, identification cards, building passes, usernames, passwords, signed statements or similar instruments of access to agency facilities, equipment or automated systems.	AC	2			AC=Until superseded, date of expiration, or date of separation/termination, whichever is sooner.		Requests for access to an electronic system are maintained by the unit who manages the operation of that system.	
91	5.4.012	Employee Security Records		AC	2			AC = Until superseded, date of expiration, or date of separation/termination, whichever is sooner.		Requests for access to an electronic system are maintained by the unit who manages the operation of that system.	



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80	5.4.013	Disaster Preparedness and Recovery Plans	Emergency preparedness procedures in the event of severe weather or any potential damage to institutional property due to storms, riots, fires, droughts, floods, or other events which could affect normal operations and facilities within the jurisdiction of the institution. The preparedness portion may include but is not limited to: department specific procedures, a list of essential employees, housing, emergency numbers, etc. The recovery portion may include but is not limited to: diaries, blogs, reports, photographs, notes which indicate or document what happened, when, and where; and related documentation and correspondence.	US						Retention: All departments except University Police = US; University Police = US +3 as required by Local Schedule PS – Retention Schedule for Records of Public Safety Agencies.	
26	5.5.001	Billing Detail – Telecommunications (other than TEX-AN)	In addition to summary detail, includes any accompanying detail listing of long-distance calls.	FE	3						



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156	5.5.002	Long-Distance Telephone Logs	Long-distance logs created by agencies for internal documentation purposes. Includes any similar logs created for long-distance facsimile or electronic transmissions.	AV							
262	5.5.003	Station Activity Reports	Internal listing of all incoming/outgoing telephone activity to individual telephone stations.	AV							
315	5.5.004	System Activity Reports	Internal listing of all incoming/outgoing University telephone activity.	AV							
551	5.5.006	Billing Detail – Telecommunications (TEX-AN).	In addition to summary detail, includes any accompanying detail listing of long-distance calls.	FE	3					The billing agency will maintain all long-distance TEX-AN records and will provide each using agency its bills summary of centralized capital complex telephone service without call detail records. These bills summaries, SEE item number 4.7.011. SEE item number 5.5.001 billing detail from carriers TEX-AN.	



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81	5.5.007	Disputed Call Documentation	Documentation relating to disputed long-distance calls, including documents evidencing repayment by employees for personal long distance use.	FE	3						
613	5.6.001	Airplane Flight Logs		FE	3					State owned = LA + 3, Leased FE+3	
614	5.6.002	Airplane Passenger Lists		FE	3						
132	5.6.003	Inspection, Repair, and Maintenance Records - Vehicles		LA	2					Retention period based on advice of legal counsel for litigation purposes.	
155	5.6.004	License and Driving Record Checks	Includes the university driver form as well as the driving records check.	AC				AC=Until Superseded or termination of employment.			
169	5.6.005	Vehicle Use Reports (mileage)	Includes mileage, fuel/oil consumption, passengers carried and other related operational information. Vehicle Operations Logs (formerly 5.6.006).	FE	3						
334	5.6.007	Vehicle Titles and Registrations		LA							
615	5.6.008	Pilot License Verifications		AC	5			AC=Termination of employment.			



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182	5.6.009	Parking Permits or Assignments		US						Includes parking permits, assignments and waiting lists. Does not include deduction authorizations, SEE 3.2.001.	