



Mr. Vernon Moore
VP & CFO
UT HSC at Tyler
11937 US Highway 271
Tyler, TX 75708

Re: Agency records retention schedule amendment approved for use

State and Local
Records Management

Dear Mr. Moore:

P.O. Box 12927
Austin, Texas
78711.2927

Amendment 2 to your agency's 9th recertification of your records retention schedule is approved for use as of Thursday, November 12, 2015. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

4400 Shoal Creek Blvd.
Austin, Texas
78756

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

www.tsl.texas.gov

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

Commission Chairman
Michael C. Waters

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Julie Wagner, at 512-463-6623 or jwagner@tsl.texas.gov.

Members
Sharon T. Carr
Martha Doty Freeman
F. Linwood Givens
Larry G. Holt
Wm. Scott McAfee
Sandra J. Pickett

Sincerely,

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

Craig Kelso
Director and State Records Administrator

Director and Librarian
Mark Smith

cc: State Auditor, State Archivist, Kirk A Calhoun, MD

Assistant State Librarian
Edward Seidenberg

*Preserving yesterday,
informing today,
inspiring tomorrow.*

R01.785/785



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 785
 Agency Name The University of TX Health Science Center at Tyler

(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 *Vernon Moore*
 Name (Print or type) Vernon Moore, Senior Vice President, Chief Business & Financial Officer
 Date 9/25/15

Section 2. Approvals *(Submitting agencies do not write in this section)*

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

Signature _____
 Name (Print or type) _____
 Date _____

Not Required at This Time

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

Signature *Donna Osborne*
 Name (Print or type) Donna Osborne
 Date 11/12/15

Cert/Recert No. 9 Amendment No. 2



STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 1 of 1

2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Page No.	Agency Item No.	

1.1.002	17	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	0	AC + 7	AC = Publication or release of final audit findings. The State Auditor's Office retains any copies of its audits performed on Texas state agencies.		6	17	C
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Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	A – Transfer to State Archives	N – New	
AV – Administrative Value	FE – Fiscal Year End	PM – Permanent	R – Review by State Archivist	C – Changed	
	LA – Life of Asset	US – Until Superseded		D – Deleted	



State and Local
Records Management

P.O. Box 12927
Austin, Texas
78711.2927

4400 Shoal Creek Blvd.
Austin, Texas
78756

www.tsl.texas.gov

Commission Chairman
Michael C. Waters

Members
Sharon T. Carr
Martha Doty Freeman
F. Linwood Givens
Larry G. Holt
Wm. Scott McAfee
Sandra J. Pickett

Director and Librarian
Mark Smith

Assistant State Librarian
Edward Seidenberg

*Preserving yesterday,
informing today,
inspiring tomorrow.*

November 17, 2014

Mr. Vernon Moore
VP & CFO
UT HSC at Tyler
11937 US Highway 271
Tyler, TX 75708

Re: Agency records retention schedule amendment approved for use

Dear Mr. Moore:

Amendment 1 to your agency's 9th recertification of your records retention schedule is approved for use as of Friday, November 14, 2014. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

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

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

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Angela Ossar, at 512-463-6623 or aossar@tsl.texas.gov.

Sincerely,

Craig Kelso
Director and State Records Administrator

cc: State Auditor, State Archivist, Kirk A Calhoun, MD

R01.785/785



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 785
The University of TX Health
Agency Name Science Center at Tyler

(Check one)

- Initial Certification - Form SLR 105
- Recertification - Form SLR 105
- Amendment - Form SLR 122

I hereby certify that this records retention schedule was prepared in accordance with Texas Government Code, Chapter 441, Subchapter L.

(Check one)

- Agency Head
- Records Management Officer

Signature

Name (Print or type) Vernon Moore

Date 10/7/14

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Signature _____
Name (Print or type) _____
Date _____

Not Required at This Time

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

Signature
Name (Print or type) _____
Date 11-14-14

Cert/Recert No. 9 Amendment No. 1



STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 1 of 1

2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Page No.		Agency Item No.

4.2.	209	Remote Deposit Checks	AC + 6 weeks	0	AC + 6 weeks	Original checks will be kept for 6 weeks after being scanned in to the Image & Transaction Management System (ITMS) online banking system. AC = Original check has been scanned to the ITMS online banking system.					N
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Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	A – Transfer to State Archives	R – Review by State Archivist	N – New	C – Changed
AV – Administrative Value	FE – Fiscal Year End	PM – Permanent			D – Deleted	
	LA – Life of Asset	US – Until Superseded				



October 18, 2012

Mr. Vernon Moore
VP & CFO
UT HSC at Tyler
11937 US Highway 271
Tyler, TX 75708

RE: UT HSC at Tyler
Retention schedule approved for use.

State and Local
Records Management

Dear Mr. Moore:

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

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

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

4400 Shoal Creek Blvd.
Austin, Texas
78756

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

www.rsl.state.tx.us

Commission Chairman
Michael C. Waters

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

Members
Sharon T. Carr
Martha Doty Freeman
F. Lynwood Givens
Larry G. Holt
Wm. Scott McAfee
Sandra J. Pickett

Sincerely,

Director and Librarian
Peggy D. Rudd

Craig Kelso
Director and State Records Administrator

Assistant State Librarian
Edward Seidenberg

Enclosure

cc: State Auditor, State Archivist
cc: (without enclosure) Kirk A Calhoun, MD

*Preserving yesterday,
informing today,
inspiring tomorrow.*

R01-785/785



Texas
State Library
and Archives
Commission

STATE OF TEXAS Records Retention Schedule Certification

SLR 105C

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

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 785
Agency Name The University of TX Health
Science Center at Tyler

(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 Vernon Moore

Name *(Print or type)* Vernon Moore

Date 7/18/12

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office

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

Signature _____

Name *(Print or type)* _____

Date _____

Not Required at This Time

Texas State Library and Archives Commission

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

Signature Peggy D. Rudd

Name *(Print or type)* Peggy D. Rudd

Date 10/17/12

Cert/Recert No. 9 Amendment No. _____

CAUTION

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

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





STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 1 of 73

2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
1.1.000	1	Accreditation Records – This record series documents the process and status of becoming accredited &/or activities associated with the reaffirmation of accreditation and required follow up reports to document adherence to criteria.	US+3	0	US+3	O	Review for historical info. Transfer any historical information to the University archives for permanent retention		
1.1.000	2	Agreements – Equipment Check-out Records (This record series consists of legal documents, correspondence, reports, etc. relating to negotiation, fulfillment and termination of agreement to which UTHCT is a party).	AC+4	0	AC+4		AC = After expiration		
1.1.000	3	Certificates – Insurance, Identification Agreements, Hold Harmless Agreements, and Contracts	AC+6	0	AC+6		AC= After expiration		

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>O= Review required before disposal I = Retain in Archive</p> <p>LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p>
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STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 2 of 73

2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
1.1.000	4	Compliance Investigation & Review Supporting Documentation / Federal – This record series represents institutional federal compliance investigations of anonymous reporting to include: investigative findings, reports, alleged compliance violation, etc.	FE+3	0	FE+3				
1.1.000	5	Compliance Opinions and Advice – This record series may include compliance opinions provided by the Office of Institutional Compliance and legal opinions received from internal or external legal counsel.	AV	0	AV	O	Legal opinions and advice must be retained in accordance with RSIN 1.1.014.		
1.1.000	6	Compliance Review Report – This record series support institutional compliance requirements and regulations.	FE+3	0	FE+3				

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>O = Review required before disposal I = Retain in Archive</p> <p>LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p>
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STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 3 of 73

2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
1.1.000	7	Events – Events that are planned by a department, such as retirement and recognition ceremony for staff personnel	AC+6	0	AC+6		AC= After the completion of the event		
1.1.000	8	Gift Records or Donor Files	AV	PM	PM		AV = As long as Administratively Valuable, PM = Permanent		
1.1.000	9	Meeting Agenda and Minutes – Committee - A record of actions and transactions taken by University committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, bylaws, etc.	6	0	6	O	Maintain for 6 years then review for historical information. Any historical information should be transferred to University archives for permanent retention.		
1.1.000	10	Memberships – Professional Organizations - Consists of various information from professional organizations to which an employee may belong. Generally for reference purposes.	AV	0	AV				

<p>Retention Codes (<i>Field 7</i>)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (<i>Field 8</i>)</p> <p>O= Review required before disposal I = Retain in Archive</p> <p>LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p>
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STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 4 of 73

2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
1.1.000	11	Patents, Trademarks, Copyright & Documentation – Includes patent licenses, trademarks and copyrights.	AC+24	0	AC+24	AC=	After Expiration		
1.1.000	12	Projects – This series documents the activities of an office, which are performed in addition to its regular duties. This series may include completed surveys and questionnaires, working papers for the project, forms and other related correspondence.	AC+1	2	AC+3	AC	After completion		
1.1.000	13	Software Management Records – Assures that license and copyright provisions are in compliance and that upgrades are obtained in a timely manner. Records may include: software inventories and correspondence	US	0	US	US	Until software is disposed of or upgraded		

Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value CE – Calendar Year End FE – Fiscal Year End	O= Review required before disposal I = Retain in Archive LA – Life of Asset MO – Months PM – Permanent US – Until Superseded



STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 5 of 73

2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
1.1.000	14	Subpoenas – Legal document requiring recipient to appear in court to testify, or to produce records to be used in litigation.	FE	3	FE+3		Some information may be exempt from public disclosure		
1.1.000	15	Volunteer Personnel Records – This series documents the activities and administration of an Institution's department or office's volunteer program. Records may include: volunteer hour statistics; volunteer program publicity records; insurance requirements.	AC+5	0	AC+5		AC= After separation		
1.1.002	16	Audits – External Audit Reports / Medicare Medicaid Compliance. Documentation of findings reported as a result of an audit by the State Auditor or by an independent auditing firm.	AC+7	0	AC+7		AC = Publication or release of final audit findings. Texas State Records Retention Schedule, 4 th edition” (Published July 4, 2012).		

<p>Retention Codes (<i>Field 7</i>)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (<i>Field 8</i>)</p> <p>O= Review required before disposal I = Retain in Archive</p> <p>LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p>
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STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 6 of 73

2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
1.1.002	17	Audits – Internal Audit Reports - Documentation of Individual department's findings as reported by internal Audit Services.	AC+4	10	AC+14		AC= Publication or release of final audit findings. To be maintained by internal audit office of component.		
1.1.004	18	Legislative Appropriation Requests – Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC+6	0	AC+6	I	AC= Sept. 1st of odd-numbered calendar years. The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program. Texas State Library and Archives Commission. Note: Only copies of supporting documentation submitted to the Legislative Budget Board are archival.		
1.1.006	19	Complaint Records – Complaint received by the agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+2	0	AC+2		AC= final disposition of the complaint.		

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>O= Review required before disposal I = Retain in Archive</p> <p>LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p>
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STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 7 of 73

2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
1.1.007	20	Correspondence – Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.	4	0	4	O	ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review.		
1.1.008	21	Correspondence – General - Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.	2	0	2				

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>O= Review required before disposal I = Retain in Archive</p> <p>LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p>
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STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 8 of 73

2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
1.1.010	22	Directives – Any document that officially initiates, rescinds, or amends general office procedures.	US+1	0	US+1				
1.1.013	23	Desk Calendars/appointment Book – Desk calendars, appointment books, and similar records, purchased with state funds that document appointment, itineraries and other activities of a component official or employee.	CE+1	0	CE+1	O	ARCHIVE NOTE: Per the RRS.		
1.1.014	24	Legal Opinions and Advice – Agency legal counsel or the Attorney General, including any request eliciting the opinions.	AV	0	AV	O	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. See item number 1.1.048		

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>O= Review required before disposal I = Retain in Archive</p> <p>LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p>
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STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 9 of 73

2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
1.1.020	25	Public Information Request-Not Exempted Approved - Includes all correspondence and documentation relating to requests for records that are furnished to the public.	AC+1	0	AC+1		AC= Date request fulfilled		
1.1.021	26	Public Information Request – Exempted Denied - includes all correspondence and documentation relating to requests for records that are denied under exceptions to the Public Information Act (Chapter 552, Gov. Code).	AC+2	0	AC+2		AC= Date of denial of request		
1.1.023	27	Organizational Chart	US	0	US	I			
1.1.024	28	Plans and Planning Records – Plans and records relating to the process of planning new or redefined programs, services or projects of a component that are not included in or directly related to other records series in this schedule	AC+3	0	AC+3	0	AC = Decision made to implement or not to implement result of planning process		

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>O= Review required before disposal I = Retain in Archive</p> <p>LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p>
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STATE OF TEXAS Records Retention Schedule

SLR 105

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1. Page 10 of 73

2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
1.1.038	29	Customer Surveys – Surveys returned by the customers or clients of an agency rating an agency's performance.	AC	0	AC	O	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		
1.1.040	30	Speeches and Papers – Notes or text of speeches, papers, or reports delivered in conjunction with agency work.	AC	0	AC	O	AC=Termination of service in a state position.		
1.1.043	31	Training Materials – Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	0	US+1				

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>O= Review required before disposal I = Retain in Archive</p> <p>LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p>
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STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 11 of 73

2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
1.1.048	32	Litigation Files – Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC+1		AC+1	O	AC= As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court in a lawsuit.		
1.1.048	33	Medical Liability claims and Litigation Files	AC+1	19	AC+20	O	AC= After Closed. All statutes of limitation must be met before file is closed. Review before disposal; some cases that set legal precedent may merit a review by University Archivist for historical value.		

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>O= Review required before disposal I = Retain in Archive</p> <p>LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p>
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SLR 105

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2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
1.1.055	34	Strategic Plan – Information resources and operational strategic plans prepared in accordance with 2054.095 and 2056.002, Gov. Code.	AC+6	0	AC+6	I	AC = September 1 of odd-numbered calendar years. The archival requirements are met by sending the required copies of the plans to the Texas State Publications depository program. The archival requirement is met both by sending copies to the Publications Depository and by sending a copy to the University Archives.	
1.1.056	35	ADA (Americans with Disabilities Act) Documentation – Self-evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act. Requests for interpreters for hearing impaired persons.	3	0	3		28 CFR 35.105(c).	

Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value CE – Calendar Year End FE – Fiscal Year End LA – Life of Asset MO – Months PM – Permanent US – Until Superseded	O= Review required before disposal I = Retain in Archive



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			Agency	Storage	Total				
1.1.057	36	Transitory Information (Records of temporary usefulness that are not an integral part of a record series of an agency. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions.	AC	0	AC		AC = Purpose of record has been fulfilled. The disposal of transitory information need not be documented through records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan.		
1.1.063	37	Staff Meeting Minutes and Notes – (Minutes of internal agency staff meetings during which formal minutes are taken).	1	0	1				
1.1.064	38	Agency Performance Measures Documentation – Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan.	FE+3	0	FE+3				

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>O = Review required before disposal I = Retain in Archive</p> <p>LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p>
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			Agency	Storage	Total				
1.1.065	39	Reports and Studies – Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	0	AV				
1.1.066	40	Reports - Biennial or Annual Agency (Narrative) Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute.	AC + 6		AC + 6	I	AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.		

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>O= Review required before disposal I = Retain in Archive</p> <p>LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p>
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			Agency	Storage	Total				
1.1.067	41	Reports and Studies (Non-Fiscal) – Annual, sub-annual or special reports or studies on non-fiscal aspects of an agency's programs, services or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency.	3	0	3	O			
1.1.068	42	Reports on Performance Measures Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC + 6		AC + 6		AC = September 1 of odd-numbered calendar years.		
1.1.069	43	Reports – Activity Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.	1	0	1		CAUTION: See item number 1.1.064		

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>O= Review required before disposal I = Retain in Archive</p> <p>LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p>
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			Agency	Storage	Total				
1.1.069	44	Reports and Studies – Special Activity - This series documents chaplain, minister and volunteer activities. This record series may include but not limited to: literature distribution; activity logs; documentation of various decisions made by staff.	10	0	10				
1.1.070	45	Agency Rules, Policies, and Procedures – Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public of those individuals or entities regulated by an agency	AC+3	0	AC+3	O	AC = Completion or termination of program, rules, policies and procedures.		

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>O= Review required before disposal I = Retain in Archive</p>
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			Agency	Storage	Total				
1.1.071	46	Agency Rules, Policies, and Procedures - Working Files Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3		AC+3	O	AC = Completion or termination of program, rules, policies, or procedures. SEE ALSO Records Series Item Number 1.1.070.		
1.2.003	47	Forms History File – Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	AC+1	0	AC+1		AC = Discontinuance of use of form.		
1.2.004	48	Forms Inventory – Any periodic listing of all forms used internally or externally by an agency.	US	0	US				

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			Agency	Storage	Total				
1.2.005	49	Records Retention Schedule (SLR 105) Agency copy. Formerly RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C), and/or other forms designated by the State Records Administrator.	US		US		Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.		
1.2.010	50	Records Disposition Logs	10	0	10				
1.3.001	51	State Publication - 1 copy of ea. One copy of each state publication as defined on page xi of the introduction of the Texas State Records Retention Schedule, except a publication that is subject to a different retention period in this schedule." For ex. A strategic plan meets the definition of a state publication, but it must be retained AC + 6."	AC+2	0	AC+2	O	AC = Until superseded or obsolete. CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code § 441.101-441.106).		

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p> <p>O = Review required before disposal I = Retain in Archive</p>
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			Agency	Storage	Total				
1.3.002	52	Publication Development Files – Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	0	AV	O			
2.1.001	53	Processing files – Machine-readable files used in the creation, utilization, and updating of master files, including printing, raw data input, maintenance and test, working, and transactional files.	AC	0	AC		AC= Completion of 3rd update cycle except for: A raw data or source file which replaces or serves as the basic source document in lieu of a textual or other source document. Be Routine or benchmark data file used in testing a system or program.		
2.1.007	54	Software Programs – Automated software applications and operating system files including job control language, program listing / source code, etc.	AC	0	AC		AC= Until electronic records are transferred to and made usable in a new software environment.		

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>O= Review required before disposal I = Retain in Archive</p> <p>LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p>
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			Agency	Storage	Total				
2.1.008	55	Hardware Documentation – Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware systems, hardware configurations and equipment controls.	AC	0	AC		AC= Until electronic records are transferred to and made usable in a new hardware environment.		
2.1.009	56	Technical Documentation Records Adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates.	AC	0	AC	O	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.		

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>O= Review required before disposal I = Retain in Archive</p> <p>LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p>
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			Agency	Storage	Total				
2.1.010	57	Audit Trail Records – Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC	0	AC		AC= All Audit requirements have been met. Some information may be exempt from public disclosure, for example: information that controls security access to selected areas.		
2.1.011	58	Finding Aids, indexes and Tracking Systems – Automated indexes, lists, registers, and other finding aids used to provide access to the hard copy and electronic records.	AC	0	AC		AC= The related hard copy or electronic records have been destroyed		
2.2.001	59	System Monitoring Records – Electronic files or automated logs created to monitor computer systems such as print spool logs, tape activity logs, etc.	AV	0	AV		Some information may be exempt from public disclosure, for example: information that controls security access to selected areas.		

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			Agency	Storage	Total				
2.2.002	60	Chargeback Records to Data Processing Services Users – Records used to document, calculate costs and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.	FE+3	0	FE+3				
2.2.004	61	Computer Job Schedules and Reports – Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.	3 MO	0	3 MO		Some information may be exempt from public disclosure, for example: information that controls security access to selected areas.		

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>O= Review required before disposal I = Retain in Archive</p> <p>LA – Life of Asset MO – Months</p> <p>PM – Permanent US – Until Superseded</p>
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			Agency	Storage	Total				
2.2.010	62	Data Processing Policies and Procedures – Manuals, guidelines, or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership	US+3	0	US+3		Some information may be exempt from public disclosure, for example: information that controls security access to selected areas.		
2.2.011	63	Batch Data entry Control records – Forms and logs used to reconcile batches submitted for processing against batches received and processed. May include but not limited to: Daily charge batch log, daily charge documents delivered to PBS, daily verify, etc.	AC	0	AC		AC = When reconciliation confirmed.		
2.2.012	64	Output Records for Computer Production – Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV	0	AV				

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p> <p>O = Review required before disposal I = Retain in Archive</p>
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			Agency	Storage	Total				
2.2.013	65	Quality Assurance Records information Verifying the quality of system, hardware, or software operations including records of errors or failures and the loss of data resulting from such failures.	AC	0	AC		AC = No longer needed as an audit trail for any records modified.		
3.1.000	66	Drug Tests / Negative Results – This record series consists of the negative results of a drug test under the Drug Free Workplace Act or as required for CDL or other drivers under US DOT regulations as well as records related to cancel tests.	1	0	1				
3.1.000	67	Individual Department Personnel Files – All UTHCT Faculty Employees the record series documents the faculty members work history. It may include but is not limited to the following info: job title, rank and education employment background	AC+1	9	AC+10		AC= Termination of UTHCT employment		

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total				
3.1.000	68	Time and Effort Report – A record certifying the percentage of time worked on a sponsored project during a particular reporting period.	AC+5	0	AC+5		AC = Termination of UTHSCT employment, UTHSCT Handbook Policy		
3.1.000	69	Transfer Requests Forms – Applications from employees applying for posted vacancies. This series may include, the transfer request form, employee's skill sheets, etc.	AC+5	0	AC+5		AC = Termination of UTHSCT employment.		
3.1.001	70	Applications for Employment – Not Hired Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, etc.	1	1	2		29 CFR 1602.31(a) {State Agencies}. 29 CFR 1602.49(a) {State Universities}.		

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>O= Review required before disposal I = Retain in Archive</p> <p>LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p>
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			Agency	Storage	Total				
3.1.002	71	Applications for Employment - Hired Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC + 5		AC + 5		AC = Termination of employment.		
3.1.011	72	Employee Insurance Records – Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the U.T. System to its employee	AC	0	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.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total				
3.1.014	73	Employment Selection Records / Non Faculty – 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 exams; polygraph results.	2	0	2		29 CFR 1602.31(a) {State Agencies}. 29 CFR 1602.49(a) {State Universities}.		
3.1.018	75	Grievance Records – Records relating to the review of employee grievance against personnel policies, working conditions, etc.	AC+2	0	AC+2		AC = Final decision on the grievance. CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U. S. Department of Labor. SEE item number 1.1.048.		
3.1.019	76	Performance Appraisals (As Part of Individual Personnel File)	AC+2	0	AC+2		AC = Separation of employment. 29 CFR 1620.32(c).		

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total				
3.1.023	77	Position / Job Descriptions – Job descriptions, including all associated task or skill statements, for positions in an agency.	AC+4	0	AC+4		AC = Until superseded or job eliminated. 40 TAC 815.106(i).		
3.1.024	78	Temporary Job Modification Records – This record series consists of the first report of injury or medical conditions and the employer's supplemental report which may include but not limited to: work assignments, physician's statements, and copies of job description.	AC+2	0	AC+2		AC = Until superseded or termination of employment.		

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p>	<p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>LA – Life of Asset MO – Months</p>	<p>PM – Permanent US – Until Superseded</p>	<p>Archival Codes (Field 8)</p> <p>O= Review required before disposal I = Retain in Archive</p>
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3.1.026	79	Criminal History Checks - Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS)	AC		AC		AC = End of probationary term of the individual's employment" (Sec. 411.094(e), Government Code) CAUTION: An agency that is authorized to obtain a criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.		
3.1.026	80	Employee Security Files	AC	0	AC		AC = Until superseded or termination of employment.		
3.1.027	81	Training and Educational Achievement Records (Individual) – Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC+5	0	AC+5	0	AC = Termination of Employment		

<p>Retention Codes (<i>Field 7</i>)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (<i>Field 8</i>)</p> <p>O= Review required before disposal I = Retain in Archive</p> <p>LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p>
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total					
3.1.029	82	Employment Eligibility, Documentation or Verification of Federal reporting form (INS I-9).	AC + 1		AC + 1	AC = Termination of employment. CAUTION: Federal regulation requires that INS 1-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period. 8 CFR 274a.2(b)(2)(i)(A) and (c)(2).				
3.1.031	83	Employee Benefits other than Insurance	AC+2	0	AC+2	AC= US or Termination of employment				
3.1.034	84	Resumes – Unsolicited	AV	0	AV					
3.1.000	85	Evidence of Insurability	AC+4	0	AC+4	AC = Until superseded or termination of employment.				

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p>	<p>Archival Codes (Field 8)</p> <p>O= Review required before disposal I = Retain in Archive</p>
<p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>LA – Life of Asset MO – Months</p>
	<p>PM – Permanent US – Until Superseded</p>



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			Agency	Storage	Total				
3.1.038	86	Public Access Option Form Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code §552.024.	US		US		See item number 3.3.011.		
3.2.001	87	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	0	AC+4		AC= After termination of employee or after amendment, expiration or termination of authorization, whichever is sooner.		
3.2.002	88	Employee Earnings Records	1	3	4		40 TAC 815.106(i).		
3.2.003	89	Federal Tax Records – Includes but not limited to Forms W-2, 1042-S, 1099-Misc., 1099-INT, 1098-T, FICA and supporting working papers	AC+4	0	AC+4		AC= Tax due date, date the claim is filed, or date tax is paid whichever is later. 26 CFR 31.6001-1(e)(2)		

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p>	<p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>LA – Life of Asset MO – Months</p>	<p>PM – Permanent US – Until Superseded</p>	<p>Archival Codes (Field 8)</p> <p>O= Review required before disposal I = Retain in Archive</p>
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			Agency	Storage	Total				
3.2.005	90	W-4 Forms Employer's copy of "Employee's Withholding Exemption Certificate."	AC + 4		AC + 4	AC = Until superseded, obsolete, or upon separation of employee. 26 CFR 31.6001-1 (e)(2).			
3.2.006	91	Wage Rate Tables	2	0	2	29 CFR 516.6 (a)(2).			
3.2.008	92	Direct Deposit Application/authorizations – This record series includes the form "Limited Power of Attorney and Authorization for Direct Deposit".	US	0	US				
3.2.009	93	State Deferred Compensation Records	AC + 5		AC + 5	AC = All accounts with a vendor or vendors for the individual participant have been closed. For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the <i>Benefits Coordinator Reference Manual</i> issued by the Employees Retirement System of Texas.			

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>O= Review required before disposal I = Retain in Archive</p> <p>LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p>
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			Agency	Storage	Total				
3.2.010	94	Human Resources Information System (HRIS) Reports – Includes supporting documentation	AC+4	0	AC+4		AC = After completion of report. Departmental Policy.		
3.3.004	95	Benefit Plans	US+1	0	US+1		29 CFR 1627.3(B)(2)		
3.3.010	96	Labor Statistics Reports – Reports providing statistical information on labor force.	3	0	3				
3.3.011	97	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	0	AC+75		AC = Termination of employment. See item number 3.1.038.		
3.3.020	98	Work Schedules / Assignments – Work, duty, shift, crew, or case schedules, rosters, or assignments.	1	0	1		Department Policy		

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total				
3.3.023	99	Reimbursable Activities – (Requests and Authorization to Engage in Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related expense activities are defrayed or reimbursed).	FE+3	0	FE+3				
3.3.024	100	Personnel Policies and Procedures – Any internally distributed manual, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.	US+3	0	US+3				

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p> <p>O= Review required before disposal I = Retain in Archive</p>
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			Agency	Storage	Total				
3.3.026	101	Agency Staffing Reports – Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name; staff hired during a month, detailed listings of employees, position vacancies, turnover rates, etc.	US+3	0	US+3				
3.3.030	102	Training Administration Records – Instructional materials and other records associated with in-house training of agency personnel policies and procedures and other policies and procedures that govern an agency's programs, services, or projects.	US+2	0	US+2				
3.3.031	103	EEO Records	3	0	3		29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50		

Retention Codes (Field 7)				Archival Codes (Field 8)	
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			Agency	Storage	Total				
3.4.000	104	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 and the UTHCT Institutional Handbook of Operating Procedures Family Medical Leave Policy.	FE+1	2	FE+3				
3.4.002	105	Leave Status Reports – Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE+3	0	FE+3				
3.4.004	106	Overtime Authorizations	2		2				
3.4.006	107	Time Cards and Time Sheets – A record of the number of hours worked and the number of hours taken as leave	4	0	4		40 TAC 815.106(i).		
3.4.007	108	Time Off and/or Sick Leave Requests – Leave request forms documenting leave	FE+3	0	FE+3				

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			Agency	Storage	Total				
3.4.008	109	Sick Leave Pool Documentation – Requests submitted, approvals, number of hours transferred in and out, etc.	FE+3	0	FE+3				
4.1.000	110	Service Center Business Plan – A plan for providing specialized service to the university community. The plan may contain but not be limited to: a statement defining the purpose of the service center, a description of each chargeable service, etc.	US+7	0	US+7	O			
4.1.001	111	Accounts Payable Information	FE+1	2	FE+3				
4.1.002	112	Billing Detail (Provides itemized billing record for services rendered).	FE+3	0	FE+3				
4.1.003	113	Cancelled Checks/Stubs/Warrants/Drafts	FE+3	0	FE+3				
4.1.005	114	Inventory and Other Cost Files Production, job, labor, quotes, pricing, specifications, etc.	FE + 3		FE + 3				
4.1.006	115	Investment Transaction Files	FE+3	0	FE+3				

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			Agency	Storage	Total				
4.2.002	116	Cash receipts – Includes receipts for fees (permits, licenses, renewals, etc.) May include but not limited to: receipts from patients, 3rd party. Medicare, Medicaid and agency payments. Daily listing of paid claims and denied claims.	FE+3	0	FE+3				
4.2.003	117	Daily Cash Receipts Log	FE+3	0	FE+3				
4.2.005	118	Purchase Vouchers - (Requisitions, orders, receiving reports, invoices, or statements, change orders, etc.).	FE+3	0	FE+3				
4.2.006	119	General Journal Vouchers	FE+3	0	FE+3				
4.2.007	120	Expenditure Vouchers – Travel, Payroll, etc.	FE+3	0	FE+3				
4.3.003	121	Expenditures Journals or Register	FE+3	0	FE+3				

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			Agency	Storage	Total				
4.4.001	122	General and Subsidiary Ledgers (Includes item numbers 4.4.002 Accounts Receivable Ledgers and 4.4.003 Accounts Payable ledgers).	FE+3	0	FE+3				
4.4.003	123	Accounts Payable Ledgers	FE+3		FE+3				
4.5.000	124	Annual Financial Report Work papers - Includes 13th month post closing report	FE+3	0	FE+3				
4.5.001	125	Worksheets for preparing fiscal reports	FE+3	0	FE+3				
4.5.002	126	Internal Fiscal Management Reports (Includes agency monthly budget reports).	FE+3	0	FE+3				

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			Agency	Storage	Total			
4.5.003	127	Annual Financial Reports Required by the General Appropriations Act (100 Day Report).	AC + 6		AC + 6	AC = September 1 of odd-numbered calendar years. CAUTION: If an agency does not produce a biennial or annual narrative report as described in item number 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.		
4.5.005	128	External Fiscal Reports (Special Purpose - i.e. federal financial reports, salary reports, etc.).	FE+3	0	FE+3			

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			Agency	Storage	Total				
4.5.006	129	Annual Operating Budgets – Required by the General Appropriations Act	FE+3	0	FE+3				
4.6.002	130	Reconciliations	FE+3	0	FE+3				
4.7.000	131	Account Records - (This record series documents the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an account and the administrative regulations, policies and procedures).	AC+7	0	AC+7		AC = After Closed, UTHSCT Policy based on Federal Office of Management and Budget (OMB) Circular A-21.		
4.7.000	132	Grant and Contract Proposal (not awarded) This record series consists of grants, federal and other sponsored grants and contracts that have been applied for but not awarded	AC+5	0	AC+5		AC= After notification		

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			Agency	Storage	Total				
4.7.000	133	Grant Records which include Clinical Trials / Drug Studies – This record series consists of research data and documentation gathered or created in the course of a clinical trial. To include: case reports, FDA forms, clinical procedures, and study protocols.	AC+15	0	AC+15		21 CFR 312.57. AC = After completion and upon receipt of notice of new drug application approval or investigational new drug withdrawal.		
4.7.000	134	Grants, Federal and other sponsored grants and contracts - This record series consists of grants, federal and other sponsored grants and contracts that have been awarded. May include but is not limited to: award letter/notice, proposal, protocols and correspondence.	AC+7	0	AC+7		AC= Term of grant		
4.7.003	135	Returned Checks/Warrants/Drafts (Uncollectable)	AC+3		AC+3		AC = After deemed uncollectable.		
4.7.004	136	Capital Asset Records	LA+3		LA+3				
4.7.009	137	Fixed Asset Sequential Number Logs	US+3	0	US+3				

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			Agency	Storage	Total				
4.7.011	138	Texas Facilities Commission Statements	FE+3	0	FE+3				
4.7.012	139	Signature Authorizations – Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	US+FE+3		US+FE+3				
5.1.000	140	Contracts and Leases not Executed	AC+1		AC+1		AC= After Denial		
5.1.000	141	Permits / Mail Services	AC+2		AC+2		AC = Expiration of permit		
5.1.000	142	Postal and Shipping Records – These records are via UPS, U.S. Postal Service, Fed Ex, or another carrier. Records may be used for billing and/or tracking.	FE + 3		FE + 3				
5.1.000	143	Registered Mail Receipts – This record series consists of receipts for registered mail	1		1				

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			Agency	Storage	Total				
5.1.000	144	Rental Agreements / Postal Boxes – Rental Agreements for Postal Boxes. The record series may include Application Forms, Renewal Notices, Closeout Notices, Receipts, and Forwarding Information.	AC+4	0	AC+4		AC = Termination of Agreement		
5.2.021	145	Surplus Property Records - (This series documents changes in state owned property; requests to declare items surplus, salvage, or scrap).	FE+3	0	FE+3				
5.1.001	146	Contracts & Leases – (Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, accepted and rejected bids, purchase orders and all other related documents).	AC+4		AC+4		AC = Expiration or termination of the instrument according to its terms. See item number 5.2.028 for building construction contracts.		

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			Agency	Storage	Total				
5.1.004	147	Mail and Telecommunications Listings – (Any mailing address, telephone or fax number, or e-mail address records maintained by an agency on its employees or on entities or persons it serves	US	0	US				
5.1.015	148	Correspondence Tracking Records – Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers.	1	0	1				
5.1.005	149	Postage Records – Records and reports of postage expenses, including postal meter usage.	FE+7	0	FE+7		Department Policy		
5.1.007	150	Requisition for copy / printing service	AV	0	AV				

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			Agency	Storage	Total				
5.1.010	151	Licenses and Permits for Non-Vehicles – Assures that license and copyright provisions are in compliance and that upgrades are obtained in a timely manner. Records may include: software licenses and site licenses.	AC+2		AC+2		AC=Expiration date of license.		
5.1.012	152	Charge Schedules / Price Lists – Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges	US + 3	0	US+ 3				
5.1.012	153	Charge Documents – Encounter Forms	1	6	7		Health Care Financing Administration, Title XVIII		

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p>	<p>Archival Codes (Field 8)</p> <p>O= Review required before disposal I = Retain in Archive</p>
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			Agency	Storage	Total				
5.1.014	154	Office Procedures – Any internally distributed manual guidelines, or similar records that establish standard office procedures for an agency; for example, agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering.	US+1	0	US+1				
5.1.000	155	Refunds - Patient 3rd Party – Requests for refunds with supporting documentation may include patient information.	US+1	0	US+1				
5.1.000	156	Reports - collection Agency Turnovers – This record series documents accounts that have been turned over to collection agencies.	US+1	0	US+1		UTHCT Policy based on Federal Office of Management and Budget (OMB) Circular A-21).		

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AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	O= Review required before disposal		
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	I = Retain in Archive		



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2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
5.1.000	157	Reports - Medicare Credit Balance – This record series documents Medicare patient accounts with credit balances	US+1	0	US+1		UTHCT Policy based on Federal Office of Management and Budget (OMB) Circular A-21).		
5.2.000	158	Surveillance Video Tapes – This record series consists of surveillance videotapes created to monitor activities occurring within and outside of institutional buildings.	AV	0	AV				
5.2.002	159	Building Construction Project Files – (Planning, design, and construction records; accepted and rejected bids; correspondence; etc. SEE ALSO 5.2.028).	AC+10		AC+10	O	AC = Completion of project. SEE ALSO item numbers 5.2.003 and 5.2.028.		
5.2.003	160	Building Plans and Specifications – Includes architectural and engineering drawings, profiles, and blueprints.	LA+2	0	LA+2	O			
5.2.004	161	Building Space Request	1	0	1				

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p>	<p>Archival Codes (Field 8)</p> <p>O= Review required before disposal I = Retain in Archive</p>
<p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>LA – Life of Asset MO – Months</p>
<p>PM – Permanent US – Until Superseded</p>	



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2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
5.2.005	162	Calibration Records – (Equipment or Instrument)	10	0	10				
5.2.007	163	Damage Reports – Reports of Damage to State property	FE+3	0	FE+3				
5.2.008	164	Equipment History File – Equipment Service Agreement - Agreements or contracts between the agency and equipment vendor to provide maintenance service for equipment. Includes requests for moves, services, installation, etc.	LA+3	0	LA+3				
5.2.009	165	Equipment Inventory Detail Report Forms – Master Inventory Of Equipment (Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory).	FE+1	2	FE+3				
5.2.010	166	Equipment Manuals	LA	0	LA				

Retention Codes (Field 7)	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled	FE – Fiscal Year End	MO – Months	US – Until Superseded	O= Review required before disposal
AV – Administrative Value				I = Retain in Archive



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2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
5.2.011	167	Equipment Warranties	AC+1	0	AC+1		AC= After expiration		
5.2.014	168	Inventory - Annual Physical (Property, equipment, supplies verification).	FE + 3	0	FE + 3				
5.2.015	169	Inventory, Notices of Equipment Removed	FE+3	0	FE+3				
5.2.016	170	Inventory System Update Listings – (Listings show all additions, changes, deletions, and transfer time for the monthly processing period).	AC	0	AC		AC = Transfer of information into annual listing.		
5.2.018	171	Case Log / Cytopathology The record series consists of a log of specimens received daily from patients which records the accession number, name of patient, requesting a doctor, collection date, patient type, birth date, patient number.	2	0	2				
5.2.020	172	Supply Usage Records - Sutures Log	FE+1	0	FE+1				

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>O= Review required before disposal I = Retain in Archive</p> <p>LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p>
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2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
5.2.023	173	Year-to-Date-Activity (Inventory Listing) Shows additions, changes, transfers, and deletions of info within the inventory system. Data include agency, division, tag number, batch, document, transaction date, location, item code, description, date and cost.	FE+3	0	FE+3				
5.2.027	174	Space Utilization Report	AV	0	AV				
5.2.028	175	Building Construction Contracts and Inspection Records Building construction contracts, surety bonds, and inspection records. See also item numbers 5.2.002 and 5.2.003.	LA+10		LA+10	O	UT system component guidelines. See ALSO item numbers 5.2.002 and 5.2.003.		

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>O = Review required before disposal I = Retain in Archive</p>
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
5.3.007	176	Bid Records: Not awarded – This record series consists of information relative to bids that were not awarded. These records may include but not be limited to: legal advertisements, requests for proposal, technical specifications, invitations to bid, etc.	FE+3	0	FE+3		CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001 an 5.2.028.		
5.3.000	177	Procurement Card Records – A record of purchase made with UTHCT Procurement Card. This record series includes but not limited to: Transaction Logs, original charge slip, sales receipt, packing slip, invoice	FE+7	0	FE+7		UTHCT Policy based on Federal Office of Management and Budget (OMB) Circular A-21).		
5.3.005	178	Package Slips	AV	0	AV		Departmental Policy		

Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	O= Review required before disposal	
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	I = Retain in Archive	



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2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
5.3.007	179	Bid Documentation – Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	FE+1	6	FE+7		Department Policy. CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001 an 5.2.028.		
5.4.000	180	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 not limited to: chemical and waste inspection forms; drum packing sheets.	AC	0	AC		AC=Until termination of license or certificate of registration. Per 25 TAC 289.202(tt)(2)		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
5.4.000	181	Contains Survey – Records of surveys performed to detect the presence of radioactive material contamination.	AC	0	AC		AC=Until termination of license or certificate of registration. Per 25 TAC 289.202(tt)(2)		
5.4.000	182	Environmental Regulations records – This series documents institutional compliance with environmental laws and guidelines of federal, state, or local governments. These records include communications with the Regional Air Pollution Authority (RAPA)	AV	PM	PM		25 Texas Administrative Code 289		
5.4.000	183	Incident Report - Radiation Safety – Original records and documentation of the Radiation Safety Program's responses to incidents involving radioactive material and radiation producing machines.	PM	0	PM		25 Texas Administrative Code 289		

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p> <p>O= Review required before disposal I = Retain in Archive</p>
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2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
5.4.000	184	Licenses, Registration and Permits / Radiation – This series is used to document the licensing and registration of the institution by federal, state, and local agencies to receive, use, store, dispose of, and ship radioactive materials and radiation prod.	AV	PM	PM		25 Texas Administrative Code 289		
5.4.000	185	Occurrence / Incident Reports – This record series may include: Occurrence reports submitted by employees using preset criteria for the reporting to Professional Liability Review Committee (PLRC) or Quality Assurance Committee; investigation reports.	CE+3	2	CE+5				

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2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
5.4.000	186	Radiation Safety Training – This series documents employee participation in radiation safety training courses of programs. Records may include but are not limited to: course agendas, descriptions, and syllabi, course outlines and materials, enrollment	5	0	5	25 Texas Administrative Code 289 Sec. 502.009(g), Health and Safety Code		
5.4.000	187	Radioactive Material Handling and Disposal records – This series is used to provide a record of the reception, handling, shipment and/disposal of radioactive material or radioactive hazardous wastes at the institution to comply with federal and state regulations.	AV	PM	PM	25 Texas Administrative Code 289		

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<p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>LA – Life of Asset MO – Months</p>
<p>PM – Permanent US – Until Superseded</p>	



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2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
5.4.000	188	Autopsy Supporting Documents – This record series consists of copies of hospital, nursing home, ambulance, or police homicide records used as reference materials for medical examiner investigations.	AC+25	0	AC+25		AC= Date of Death		
5.4.001	189	Accident Reports and Associated Documentation – Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the TX Department of Insurance or its predecessors or maintained internally on accident frequency.	CE+2	3	CE+5		29 CFR 1904.6. The Texas Department of Insurance retains copies of the reports submitted to it for 50 years. Security Confidential is a department requirement because some information may be exempt from public disclosure.		

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p> <p>O= Review required before disposal I = Retain in Archive</p>
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2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler							
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			Agency	Storage	Total				

5.4.012	190	Security Access Records / Computer Systems – A record of permission granted to intervals in a department for access to mainframe or network systems.	AC+2	0	AC+2	AC = Until superseded, date of expiration, or date of termination, whichever is sooner.		
5.4.002	191	Evacuation Plans – Plans for evacuation of agency facilities in cases of emergency.	US	0	US			
5.4.003	192	Inspection Records – Fire Safety and other inspection records of agency facilities and equipment.	AC+3	0	AC+3	AC = Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency. CAUTION: Does not include inspection reports of building construction. SEE item number 5.2.028.		

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>O= Review required before disposal I = Retain in Archive</p> <p>LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p>
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2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
5.4.000	193	Blood Bank Records / Aphaeresis Donors – This record series consists of documents maintained in a blood bank which records donor information, consent statement, lab tests, donations over time and general records.	AC+10	0	AC+10		Standards for blood banks and transfusion services, Reference standard 6.2a Retention of Donor/Unit Records AC=After records of processing have been completed or 6 months after the latest expiration date for the individual product, whichever later.		
5.4.000	194	Blood Donors Records - Consists of Blood Bank Donor Record forms for recording donor demographic info, donor release statement and consent with donor signature, suitability interview questions and the results of a basic physical exam.	AV	PM	PM		21 CFR Parts 600 and 200		
5.4.007	195	Hazardous Materials Training Records – Training given to employees in an agency hazard communications program.	5	0	5		Health and safety code, 502.009 (g).		

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p> <p>O= Review required before disposal I = Retain in Archive</p>
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			Agency	Storage	Total				
5.4.000	196	Processing Records – Blood Bank This record series consists of blood bank records, which monitor the process in which blood products are made available for use. Processing records include: blood processing, including the results and interpretation.	AC+10		AC+10		AC = After records of processing have been completed or 6 months after the latest expiration date for the individual product, whichever later.		
5.4.000	197	Requests for blood component and lab tests – This series documents physician orders for lab tests in order to obtain blood components. It may include but is not limited to: name of patient; date; physician's signature; tests ordered and results; transfusion information.	AV	PM	PM				
5.4.008	198	Hazard Communications Plans	US + 5	0	US + 5		Health and Safety Code 502.009(g)		

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p> <p>O = Review required before disposal I = Retain in Archive</p>
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			Agency	Storage	Total				
5.4.010	199	Material Safety Data Sheets	AC	0	AC		AC= After sheets are updated or hazardous chemical no longer stored by agency, as applicable.		
5.4.011	200	Visitor Control Registers – Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.	3	0	3				
5.4.013	201	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, etc. which could affect the normal operations).	US	0	US		Some information may be exempt from public disclosure, for example: information that controls security access to selected areas.		
5.5.000	202	Communication Tapes and Printouts – Tapes and Printouts of incoming and outgoing telephone and radio communication	AC+30 days	0	AC+30 days		AC= After completion of tape plus 30 days		

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	O= Review required before disposal			
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			Agency	Storage	Total				
5.5.001	203	Billing Details – Telecommunications (Other than TEX-AN) - In addition to summary detail, includes any accompanying detailed listing of long distance calls. See item number 5.5.006 for TEX-AN billing detail.	FE+3		FE + 3		SEE item number 5.5.006 for TEX-AN billing detail.		
5.5.003	204	Station Activity Reports – Internal listing of all incoming/outgoing telephone activity to individual telephone.	AV	0	AV				
5.5.004	205	System Activity Reports – Internal listing of all incoming and outgoing agency telephone activity.	AV	0	AV				

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p>	<p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>LA – Life of Asset MO – Months</p>	<p>PM – Permanent US – Until Superseded</p>	<p>Archival Codes (Field 8)</p> <p>O= Review required before disposal I = Retain in Archive</p>
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			Agency	Storage	Total					
5.5.006	206	Billings Detail – Telecommunications (TEX-AN) - Retention period applies only to TEX-AN billing detail received by an agency from General Services Commission before June 1, 1994.	FE+3		FE+3		The billing agency will maintain all long distance TEX-AN records and will provide each using agency its bill summary of centralized capitol complex telephone service without call detail records. For these bill summaries, SEE item number 4.7.011. SEE item number 5.5.001 for billing detail from carriers other than TEX-AN.			
5.6.005	207	Operations Logs – Vehicles	FE+3	0	FE+3					
	208	Applications – For Admissions or readmission for applicants who enter a record of applications accepted for admission and enrolled in an undergraduate or graduate program.	AC+5	0	AC+5		AC= Graduation or date of last attendance			
	301	Class Schedules – Students	AC+1	0	AC+1		AC= Graduation or date of last attendance			

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	O= Review required before disposal			
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			Agency	Storage	Total				
	302	Course Contents – Syllabi, faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials	AC+5	0	AC+5		AC= Obsolescence of course.		
	303	Course Evaluations – Is the record series that consists of information/surveys done to evaluate the course and/or the instructor. May include correspondence, reports, etc.	AC+2	0	AC+2		AC= After completion of course.		
	304	Academic Transcripts - Transcript, or a record equivalent in function, of the academic achievement of each enrolled student, documenting courses taken, credits granted, grades received, and any degrees or certifications awarded (including any narrative assessments or evaluations prepared in lieu of an assigned grade).	PM		PM				

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			Agency	Storage	Total			

	305	Test Questions and Examinations records May include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments.	AC+2	0	AC+2	AC= After graduation or date of last attendance.		
	306	Course Changes (Add/Drop) – Invasions Systems Enhancement	1	6	7			
	400	Medical Research Findings (Excluding Published Works)	AV	0	AV			
	401	Medical Logs – Medical Logs in this record series may include but not limited to: Patient, Admission, Transport, Dispatch, Census, Discharge, Patient Photo, Patient Service	3	0	3			

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>LA – Life of Asset MO – Months</p> <p>PM – Permanent US – Until Superseded</p> <p>O= Review required before disposal I = Retain in Archive</p>
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			Agency	Storage	Total				
	402	Final Test reports / pathology – This record series consists of the legally reproduced copies of each test and preliminary reports on pathology testing. This series is specific to pathology, histology, and cytology records.	PM	0	PM		42 CFR 493.1101. Department policy.		
	403	Protocols – A protocol is a detailed plan of scientific or medical experiment. Treatment or procedures.	AC+7	0	AC+7		AC = After discontinuation		
	404	Client Counseling Records – This series documents all clients who are provided counseling, psychological, and psychiatric services. Clinicians provide treatment concerning personal problems, academic concerns, and career concerns.	AC+10	0	AC+10		AC= Last date of service		

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SLR 105

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2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
	405	Licenses and Permits for Non-vehicles – Institutional Licenses and Permits for dealing with hazardous materials may include the following agencies: Texas Department of State Health Services, Centers for Disease Control, Health and Human Services Commission.	PM	0	PM		Texas Department of State Health Services and Centers for Disease Control		
	406	Final Test Reports / Cytopathology – This records series consists of the legally reproduced copies of each test result and preliminary reports on pathology testing that are filed in the patient medical record. This series is specific to pathology, histology, and cytology records.	AC+10		AC+10		49 CFR 493.1101 AC = Date of patient's last visit; if a patient is younger than 18 years of age when the patient was last treated, disposition may take place on or after the date of the patient's 21st birthday or on or after the 10th anniversary of the date on which the patient was last treated, whichever date is later.		

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2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler							
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			Agency	Storage	Total				
	407	Laboratory Test Requests – This record series consists of all requisitions authorizing a laboratory to perform tests on a sample. These req's may include the patient's name or ID number, the source of specimen, physician's signature, test results, etc.	AC+10		AC+10		AC = Date of patient's last visit; if a patient is younger than 18 years of age when the patient was last treated, disposition may take place on or after the date of the patient's 21st birthday or on or after the 10th anniversary of the date on which the patient was last treated, whichever date is later.		
	408	Vendor request for taxpayer identification number This record series may include but not limited to W9 Taxpayer identification number, online check request supply forms, and patient research subject data	AC+1	6	AC+7		AC= Vendor Deletion		
	409	Requests for information Preliminary to the procurement of goods or services by direct purchase or bid.	AC	0	AC		AC= Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	I = Retain in Archive			



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			Agency	Storage	Total				
	410	Assessment of Internal Radiation Exposure Records of biopsy uptake measurements and associated calculations to determine presence of internal contamination of radioactive material.	AV	PM	PM		25 Texas Administrative Code 289		
	411	Brachytherapy Patient Monitoring – This record series contains records of radiation area surveys performed on patients treated with radioactive materials in order to document compliance with state and federal regulations.	AV	PM	PM		25 Texas Administrative Code 289		
	412	Medical Logs – Autopsy Log the medical logs in this record series may include but not limited to: Patient Admission, Transport, Dispatch, Census, discharge, Patient Photo, Patient Service.	3	0	3				

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2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler						
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			Agency	Storage	Total			
	413	Source Data / Medical This record series includes health info. Stored in any original media. Examples of Source data include, but are not limited to paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips photographs, EKG.	AC+10	0	AC+10	Health and Safety Code §241.103 22 TAC 165.1. AC = Patient's 21st birthday or on or after the 10th anniversary of the date on which the patient was last treated, whichever date is later		
5.4.009	414	Workplace Chemical Lists Texas Hazard Communication Act Tier Two Report, Texas Department of State Health Services. This record series documents hazardous chemicals at volumes of 55 gal., 500 lb. And includes the workplace chemical lists	30	0	30	Health and Safety Code, 502.005 (d).		

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			Agency	Storage	Total				
	415	Final test reports / Cytogenesis This record series consists of the legally reproduced copies of each test result and preliminary reports on pathology testing, This series is specific to pathology, Cytogenesis, and Clinical Genetics records.	AC+10	0	AC+10		42 CFR 493.1101 AC = Date of patient's last visit; if a patient is younger than 18 years of age when the patient was last treated, disposition may take place on or after the date of the patient's 21st birthday or on or after the 10th anniversary of the date on which the patient was last treated, whichever date is later.		
	416	Donor Records – Medical this records series may include but is not limited to: Donor tissue typing, ABO blood type report; Cross match results of all the patients on transplant waiting list with the corresponding blood group.	PM	0	PM				

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2. Agency Code 785		3. Agency Name The University of Texas Health Science Center at Tyler							
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			Agency	Storage	Total				
	417	Final Test reports / tissue antigen – This record series consists of the legally reproduces copies of each test result and preliminary reports on pathology testing. This series is specific to pathology, histology, cytology records.	AC+10	0	AC+10		AC = Date of patient's last visit; if a patient is younger than 18 years of age when the patient was last treated, disposition may take place on or after the date of the patient's 21st birthday or on or after the 10th anniversary of the date on which the patient was last treated, whichever date is later.		
	418	Medical Research / Clinical Trials not associated with grants	AV	PM	PM				
	500	Juvenile Records – Juvenile Records not referred to Juvenile Court. Include reports, photos and fingerprint records	AC	0	AC		AC= Destroy immediately Family Code, Section 58.001(c).		
	501	Police Case Reports / Arrest Records	2	PM	PM				

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			Agency	Storage	Total				

	502	Police Incident Reports – Non-criminal incidents the department investigates	2	3	5				
	503	Police Offence Reports / Felonies – (Murder, Manslaughter or sexual assault	PM	0	PM				
	504	Police Offense Reports / Felonies	AC	0	AC	AC= 75 years, or date of death of individual, if known.			
	505	Police Offense Reports / Misdemeanors	AC	0	AC	AC= 75 years, or date of death of individual, if known.			
5.4.012	506	Security Access Records – (Records relating to the issuance of keys, identification cards, building passes, passwords, or similar instruments of access to agency facilities or equipment).	AC+2	0	AC+2	AC = Until superseded, date of expiration, or date of termination, whichever sooner).			

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