

March 7, 2019



Kris I Kavasch  
Interim VP, Finance, CFO  
UT Health Science Center at Tyler  
11937 US Highway 271  
Tyler, TX 75708

Re: Agency records retention schedule amendment approved for use.

Dear Mr. Kavasch:

Amendment 1 to your agency's 10<sup>th</sup> recertification of your records retention schedule is approved for use as of February 28, 2019. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

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

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

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Benjamin Barlow at 512-463-5448 or [bbarlow@tsl.texas.gov](mailto:bbarlow@tsl.texas.gov).

Sincerely,

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

Craig Kelso  
Director and State Records Administrator

cc: Agency head

Lorenzo de Zavala  
State Archives and  
Library Building

1201 Brazos Street  
Austin, Texas  
78701

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

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

Commission Chairman  
Michael C. Waters

*Members*

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

Director and Librarian  
Mark Smith

Assistant State Librarian  
Gloria Meraz

**TSLAC**

Preserving yesterday  
Informing today  
Inspiring tomorrow



# STATE OF TEXAS Records Retention Schedule Certification

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

### Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 785

Agency Name UT Health Science Center 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

*Kris Kavascch*

Name (Print or type)

Kris Kavascch

Date

11/11/19

### Section 2. Approvals

(Submitting agencies do not write in this section)

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

**Not Required at This Time**

Signature

Name (Print or type)

Date

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

Signature

Name (Print or type)

Date

*Sharon Luy*

Sharon Luy

2/28/19

Cert/Recert No.

10

Amendment No.

1

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## CAUTION

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

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







January 9, 2018

Kris I. Kavasch  
Interim VP, Finance, CFO  
UT Health Science Center at Tyler  
11937 US Highway 271  
Tyler, TX 75708

Re: Agency records retention schedule approved for use.

Dear Mr. Kavasch,

Lorenzo de Zavala  
State Archives and  
Library Building

Your agency's records retention schedule is approved for use as of January 2, 2018. Your currently approved records retention schedule is available on our website at <https://www.tsl.texas.gov/slrms/state/schedules.html>. Please ensure that all old copies of the schedule are superseded with this recertified copy.

1201 Brazos Street  
Austin, Texas  
78701

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

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

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

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

*Commission Chairman*  
Michael C. Waters

During a certification period, changes may need to be made to your schedule. State regulations (13 TAC §6.4) also allow for the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, or if you have any other questions, please contact the Government Information Analyst assigned to your agency, Benjamin Barlow at 512-512-463-5448 or [bbarlow@tsl.texas.gov](mailto:bbarlow@tsl.texas.gov).

*Members*

Sharon T. Carr  
F. Lynwood Givens  
Larry G. Holt

Romanita Matta-Barrera  
Wm. Scott McAfee  
Martha Wong

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

*Director and Librarian*  
Mark Smith

Sincerely,

A handwritten signature in black ink, appearing to read "CK" or similar initials.

Craig Kelso  
Director and State Records Administrator

*Assistant State Librarian*  
Gloria Meraz

cc: Agency head

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Preserving yesterday  
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Inspiring tomorrow



STATE OF TEXAS  
**Records Retention Schedule Certification**

**SLR 105C**

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

**Section 1. Agency Information**

(Submitting agencies complete this section only)

Agency Code 785

Agency Name The University of Texas 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

Name (Print or type)

Date

Wm J. Nawab  
Kris T. Nawab  
10/30/17

**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

Alonia Jones  
Gloria Mera  
1/2/18

Cert/Recert No.

10

Amendment No.

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# STATE OF TEXAS

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
1	1.1.000	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				O	Review for historical info. Transfer any historical information to the University archives for permanent retention.	
2	1.1.000	Agreements	This record series consists of legal documents, correspondence, reports, etc. relating to negotiation, fulfillment and termination of agreement to which University of Texas Health Science Center at Tyler (UTHSCT) is a party.	AC	7			AC = After expiration			
3	1.1.000	Certificates	Insurance, Identification Agreements, Hold Harmless Agreements, and Contracts	AC	7			AC = After expiration			

**Retention Codes (field 7)**

AC – See event trigger for specific records series definition  
 AV – Administratively valuable  
 CE – Calendar year end

FE – Fiscal year end

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

**Archival Codes (Field 10)**

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

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					Years	Months	Days				
4	1.1.000	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						
5	1.1.000	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					O	Legal opinions and advice must be retained in accordance with RSIN 1.1.014.	
6	1.1.000	Compliance Review Report	This record series support institutional compliance requirements and regulations.	FE	3						
7	1.1.000	Events	Events that are planned by a department, such as retirement and recognition ceremony for staff personnel.	AC	6			AC = After the completion of the event			
8	1.1.000	Gift Records or Donor Files		PM							

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					Years	Months	Days				
9	1.1.000	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				O	Maintain for 6 years then review for historical information. Any historical information should be transferred to University archives for permanent retention.	
10	1.1.000	Memberships – Professional Organizations	Consists of various information from professional organizations to which an employee may belong. Generally for reference purposes.	AV							
11	1.1.000	Patents, Trademarks, Copyright & Documentation	Includes patent licenses, trademarks and copyrights.	AC	24			AC = After expiration			
12	1.1.000	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	3			AC = After completion			

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					Years	Months	Days				
13	1.1.000	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						US = Until software is disposed of or upgraded	
14	1.1.000	Subpoenas	Legal document requiring recipient to appear in court to testify, or to produce records to be used in litigation.	FE	3					Some information may be exempt from public disclosure.	
15	1.1.000	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			AC = After separation			

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					Years	Months	Days				
16	1.1.002	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			AC = Publication or release of final audit findings. The State Auditor's Office retains any copies of its audits performed on Texas state agencies.		Texas State Records Retention Schedule, Revised 4th Edition (Published August 31, 2016)	
17	1.1.002	Audits – Internal Audit Reports	Documentation of Individual department's findings as reported by Internal Audit Services.	AC	7			AC = Publication or release of final audit findings.		To be maintained by internal audit office of component.	
18	1.1.004	Legislative Appropriation Requests	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC	6			AC = Sept. 1st of odd-numbered calendar years.	I	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.	

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					Years	Months	Days				
19	1.1.006	Complaints Records	Complaint received by the agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC	2			AC = Final disposition of the complaint.		CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048.	

<p><b>Retention Codes (field 7)</b></p> <p>AC – See event trigger for specific records series definition          AV – Administratively valuable          CE – Calendar year end</p>	<p>FE – Fiscal year end          LA – Life of Asset          PM – Permanent          US – Until Superseded</p>	<p><b>Archival Codes (Field 10)</b></p> <p>A/I – Transfer to State/University Archivist          R/O – Review by State/University Archivist</p>
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					Years	Months	Days				
20	1.1.007	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			O	<p>ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review.</p> <p>CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.</p>		

<p><b>Retention Codes (field 7)</b></p> <p>AC – See event trigger for specific records series definition          AV – Administratively valuable          CE – Calendar year end</p>	<p>FE – Fiscal year end          LA – Life of Asset          PM – Permanent          US – Until Superseded</p>	<p><b>Archival Codes (Field 10)</b></p> <p>A/I – Transfer to State/University Archivist          R/O – Review by State/University Archivist</p>
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					Years	Months	Days				
21	1.1.008	Correspondence – General	Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.		2						
22	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						

<p><b>Retention Codes (field 7)</b></p> <p>AC – See event trigger for specific records series definition          AV – Administratively valuable          CE – Calendar year end</p>	<p>FE – Fiscal year end          LA – Life of Asset          PM – Permanent          US – Until Superseded</p>	<p><b>Archival Codes (Field 10)</b></p> <p>A/I – Transfer to State/University Archivist          R/O – Review by State/University Archivist</p>
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					Years	Months	Days				
23	1.1.013	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			O	ARCHIVE NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.		

<p><b>Retention Codes (field 7)</b></p> <p>AC – See event trigger for specific records series definition          AV – Administratively valuable          CE – Calendar year end</p>	<p>FE – Fiscal year end          LA – Life of Asset          PM – Permanent          US – Until Superseded</p>	<p><b>Archival Codes (Field 10)</b></p> <p>A/I – Transfer to State/University Archivist          R/O – Review by State/University Archivist</p>
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					Years	Months	Days				
24	1.1.014	Legal Opinions and Advice	Agency legal counsel or the Attorney General, including any request eliciting the opinions.	AV					O	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. See item number 1.1.048	
25	1.1.020	Public Information Request-Not Exempted Approved	Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Gov. Code).	AC	1			AC = Date request fulfilled			
26	1.1.021	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			AC = Date of denial of request			
27	1.1.023	Organizational Chart		US					I		

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28	1.1.024	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			AC = Decision made to implement or not to implement result of planning process.	O	ARCHIVES NOTE: Data processing planning records are not archival.	
29	1.1.038	Customer Surveys	Surveys returned by the customers or clients of an agency rating an agency's performance.	AC				AC = Final disposition of summary report.	O	SEE item number 1.1.067 for summary reports compiled from customer surveys.	
30	1.1.040	Speeches and Papers	Notes or text of speeches, papers, or reports delivered in conjunction with agency work.	AC				AC = Termination of service in a state position.	O		
31	1.1.043	Training Materials	Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US	1						

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					Years	Months	Days				
32	1.1.048	Litigation Files	Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC	1			AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court in a lawsuit.	O	ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation.	
33	1.1.048	Medical Liability claims and Litigation Files	Records created by or on behalf of an agency in anticipation of or in the adjudication of a medical malpractice/professional liability lawsuit.	AC	20			AC = After closed	O	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><b>Retention Codes (field 7)</b></p> <p>AC – See event trigger for specific records series definition          AV – Administratively valuable          CE – Calendar year end</p>	<p>FE – Fiscal year end          LA – Life of Asset          PM – Permanent          US – Until Superseded</p>	<p><b>Archival Codes (Field 10)</b></p> <p>A/I – Transfer to State/University Archivist          R/O – Review by State/University Archivist</p>
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					Years	Months	Days				
34	1.1.055	Strategic Plan	Information resources and operational strategic plans prepared in accordance with 2054.095 and 2056.002, Gov. Code.	AC	6			AC = Sept. 1 of odd-numbered calendar years.	I	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.	
35	1.1.056	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						28 CFR 35.105(c).

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					Years	Months	Days				
36	1.1.057	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				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.	
37	1.1.063	Staff Meeting Minutes and Notes	Minutes of internal agency staff meetings during which formal minutes are taken).		1						
38	1.1.064	Agency Performance Measures Documentation	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan.	FE	3						
39	1.1.065	Reports and Studies – Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV							

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A/I – Transfer to State/University Archivist  
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# STATE OF TEXAS

## Records Retention Schedule

1. Agency Code: 785		2. Agency Name: UT Health Science Center Tyler									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
40	1.1.066	Reports - Biennial or Annual Agency (Narrative)	Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute.	AC	6			AC = Sept. 1 of odd-numbered calendar years.	I	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.	
41	1.1.067	Reports and Studies (Non-Fiscal)	Annual, sub-annual or special reports or studies on non-fiscal aspects of an agency's programs, services or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency.		3				O		
42	1.1.068	Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC	6			AC = Sept. 1 of odd-numbered calendar years.			

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43	1.1.069	Reports – Activity	Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.		1					CAUTION: See item number 1.1.064	
44	1.1.069	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.		3						
45	1.1.070	Agency Rules, Policies, and Procedures	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public of those individuals or entities regulated by an agency	AC	3			AC = Completion or termination of program, rules, policies and procedures.	O		

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46	1.1.071	Agency Rules, Policies, and Procedures - Working Files	Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Completion or termination of program, rules, policies, or procedures.	O	SEE ALSO Records Series Item Number 1.1.070.	
47	1.2.003	Forms History File	Master copies of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	AC	1			AC = Discontinuance of use of form			
48	1.2.004	Forms Inventory	Any periodic listing of all forms used internally or externally by an agency.	US							
49	1.2.005	Records Retention Schedule (SLR 105)	Agency copy. Formerly RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C), and/or other forms designated by the State Records Administrator.	US						Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	

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					Years	Months	Days				
50	1.2.010	Records Disposition Logs		FE	3						
51	1.3.001	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			AC = Until superseded or obsolete	O	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).	
52	1.3.002	Publication Development Files	Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV					O		

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53	2.1.001	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				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.	
54	2.1.007	Software Programs	Automated software applications and operating system files including job control language, program listing / source code, etc.	AC				AC = Until electronic records are transferred to and made usable in a new software environment.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94
55	2.1.008	Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware systems, hardware configurations and equipment controls.	AC				AC = Until electronic records are transferred to and made usable in a new hardware environment.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94

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					Years	Months	Days				
56	2.1.009	Technical Documentation	Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates.	AC				AC = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation.	O		
57	2.1.010	Audit Trail Records	Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC				AC = All Audit requirements have been met		Some information may be exempt from public disclosure, for example: information that controls security access to selected areas.	
58	2.1.011	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				AC = The related hard copy or electronic records have been destroyed.			

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59	2.2.001	System Monitoring Records	Electronic files or automated logs created to monitor computer systems such as print spool logs, tape activity logs, etc.	AV						Some information may be exempt from public disclosure, for example: information that controls security access to selected areas.	
60	2.2.002	Chargeback Records to Data Processing Services Users	Records used to document, calculate costs and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.	FE	3						
61	2.2.004	Computer Job Schedules and Reports	Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.			3				Some information may be exempt from public disclosure, for example: information that controls security access to selected areas.	

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62	2.2.010	Data Processing Policies and Procedures	Manuals, guidelines, or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership	US	3					Some information may be exempt from public disclosure, for example: information that controls security access to selected areas.	
63	2.2.011	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 PFS, daily verify, etc.	AC				AC = When reconciliation confirmed			
64	2.2.012	Output Records for Computer Production	Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV							
65	2.2.013	Quality Assurance Records	Information verifying the quality of system, hardware, or software operations including records of errors or failures and the loss of data resulting from such failures.	AC				AC = No longer needed as an audit trail for any records modified.			

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66	3.1.000	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 Commercial Driver's License or other drivers under United States Department of Transportation regulations as well as records related to cancel tests.		2						
67	3.1.000	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	10			AC= Termination of UTHCT employment.			
68	3.1.000	Time and Effort Report	A record certifying the percentage of time worked on a sponsored project during a particular reporting period.	AC	5			AC = Termination of UTHSCT employment.		UTHSCT Handbook Policy	
69	3.1.000	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			AC = Termination of UTHSCT employment.			

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70	3.1.001	Applications for Employment – Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, etc.		2						29 CFR 1602.31(a) {State Agencies}. 29 CFR 1602.49(a) {State Universities}.
71	3.1.002	Applications for Employment - Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC	5			AC = Termination of employment.			
72	3.1.011	Employee Insurance Records	Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the U.T. System to its employee	AC				AC = Until superseded or termination of employment.		CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	

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73	3.1.014	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						29 CFR 1602.31(a) {State Agencies}. 29 CFR 1602.49(a) {State Universities}.
75	3.1.018	Grievance Records	Records relating to the review of employee grievance against personnel policies, working conditions, etc.	AC	2			AC = Final decision on the grievance.		CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U. S. Department of Labor. SEE item number 1.1.048.	
76	3.1.019	Performance Appraisals	(As Part of Individual Personnel File)		2						29 CFR 1620.32(c).
77	3.1.023	Position / Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	4			AC = Until superseded or job eliminated.			40 TAC 815.106(i).

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78	3.1.024	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			AC = Until superseded or termination of employment.			
79	3.1.026	Criminal History Checks	Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS)	AC				AC = 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.	
80	3.1.026	Employee Security Files		AC				AC = Until superseded or termination of employment.			

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81	3.1.027	Training and Educational Achievement Records (Individual)	Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC	5			AC = Termination of employment.	O		
82	3.1.029	Employment Eligibility, Documentation or Verification of	Federal reporting form (INS I-9).	AC	1			AC = Termination of employment.		CAUTION: Federal regulation requires that INS 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).
83	3.1.031	Employee Benefits other than Insurance		AC	2			AC = US or Termination of employment.			
84	3.1.034	Resumes – Unsolicited		AV							

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85	3.1.000	Evidence of Insurability		AC	4			AC = Until superseded or termination of employment.			
86	3.1.038	Public Access Option Form	Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code §552.024.	US						See item number 3.3.011.	
87	3.2.001	Employee Deduction Authorizations	Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC	4			AC = After termination of employee or after amendment, expiration or termination of authorization, whichever is sooner.			
88	3.2.002	Employee Earnings Records			4						40 TAC 815.106(i).

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89	3.2.003	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			AC = Tax due date, date the claim is filed, or date tax is paid whichever is later.			26 CFR 31.6001-1(e)(2)
90	3.2.005	W-4 Forms	Employer's copy of "Employee's Withholding Exemption Certificate."	AC	4			AC = Until superseded, obsolete, or upon separation of employee.			26 CFR 31.6001-1(e)(2).
91	3.2.006	Wage Rate Tables			2						29 CFR 516.6 (a)(2).
92	3.2.008	Direct Deposit Application/authorizations	This record series includes the form "Limited Power of Attorney and Authorization for Direct Deposit".	US							
93	3.2.009	State Deferred Compensation Records		AC	5			AC = All accounts with a vendor or vendors for the individual participant have been closed.		For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the Benefits Coordinator Reference Manual issued by the Employees Retirement System of Texas	

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94	3.2.010	Human Resources Information System (HRIS) Reports	Includes supporting documentation	AC	4			AC = After completion of report.		Departmental Policy.	
95	3.3.004	Benefit Plans		US	1						29 CFR 1627.3(B)(2)
96	3.3.010	Labor Statistics Reports	Reports providing statistical information on labor force.		3						
97	3.3.011	Former Employee Verification Records	Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC	75			AC = Termination of employment.		See item number 3.1.038.	
98	3.3.020	Work Schedules / Assignments	Work, duty, shift, crew, or case schedules, rosters, or assignments.		1					Department Policy	
99	3.3.023	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						

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100	3.3.024	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						
101	3.3.026	Agency Staffing Reports	Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name; staff hired during a month, detailed listings of employees, position vacancies, turnover rates, etc.	US	3						
102	3.3.030	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						

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					Years	Months	Days				
103	3.3.031	EEO Records			3						29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50
104	3.4.000	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 UTHSCT Institutional Handbook of Operating Procedures Family Medical Leave Policy.	FE	3						
105	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3						
106	3.4.004	Overtime Authorizations			2						
107	3.4.006	Time Cards and Time Sheets	A record of the number of hours worked and the number of hours taken as leave		4						40 TAC 815.106(i).
108	3.4.007	Time Off and/or Sick Leave Requests	Leave request forms documenting leave	FE	3						

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# STATE OF TEXAS

## Records Retention Schedule

1. Agency Code: 785		2. Agency Name: UT Health Science Center Tyler									
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					Years	Months	Days				
109	3.4.008	Sick Leave Pool Documentation	Requests submitted, approvals, number of hours transferred in and out, etc.	FE	3						
110	4.1.000	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						
111	4.1.001	Accounts Payable Information		FE	3						
112	4.1.002	Billing Detail	(Provides itemized billing record for services rendered).	FE	3						
113	4.1.003	Cancelled Checks/Stubs/Warrants/Drafts		FE	3						
114	4.1.005	Inventory and Other Cost Files	Production, job, labor, quotes, pricing, specifications, etc.	FE	3						
115	4.1.006	Investment Transaction Files		FE	3						

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					Years	Months	Days				
116	4.2.002	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						
117	4.2.003	Daily Cash Receipts Log		FE	3						
118	4.2.005	Purchase Vouchers	Requisitions, orders, receiving reports, invoices, or statements, change orders, etc.).	FE	3						
119	4.2.006	General Journal Vouchers		FE	3						
120	4.2.007	Expenditure Vouchers	Travel, Payroll, etc.	FE	3						
121	4.3.003	Expenditures Journals or Register		FE	3						
122	4.4.001	General and Subsidiary Ledgers	(Includes item numbers 4.4.002 Accounts Receivable Ledgers and 4.4.003 Accounts Payable ledgers).	FE	3						
123	4.4.003	Accounts Payable Ledgers		FE	3						

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					Years	Months	Days				
124	4.5.000	Annual Financial Report Work papers		FE	3						
125	4.5.001	Worksheets for preparing fiscal reports		FE	3						
126	4.5.002	Internal Fiscal Management Reports	Includes agency monthly budget reports	FE	3						
127	4.5.003	Annual Financial Reports	Required by the General Appropriations Act (100 Day Report).	AC	6			AC = Sept. 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.	

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					Years	Months	Days				
128	4.5.005	External Fiscal Reports - Special Purpose	i.e. federal financial reports, salary reports, etc.).	FE	3						
129	4.5.006	Annual Operating Budgets	Required by the General Appropriations Act	FE	3						
130	4.6.002	Reconciliations		FE	3						
131	4.7.000	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			AC = After closed		UTHSCT Policy based on Federal Office of Management and Budget (OMB) Circular A-21	
132	4.7.000	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			AC= After notification			

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					Years	Months	Days				
133	4.7.000	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			AC = After completion and upon receipt of notice of new drug application approval or investigational new drug withdrawal.			21 CFR 312.57.
134	4.7.000	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			AC= Term of grant			
135	4.7.003	Returned Checks/Warrants/Drafts (Uncollectable)		AC	3			AC = After deemed uncollectable			
136	4.7.004	Capital Asset Records		LA	3						
137	4.7.009	Fixed Asset Sequential Number Logs		US	3						
138	4.7.011	Texas Facilities Commission Statements		FE	3						

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					Years	Months	Days				
139	4.7.012	Signature Authorizations	Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	AC	3			AC = US + FE			
140	5.1.000	Contracts and Leases not Executed		AC	1			AC= After Denial			
141	5.1.000	Permits / Mail Services		AC	2			AC = Expiration of permit			
142	5.1.000	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						
143	5.1.000	Registered Mail Receipts	This record series consists of receipts for registered mail		1						
144	5.1.000	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			AC = Termination of Agreement			

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					Years	Months	Days				
145	5.2.021	Surplus Property Records	This series documents changes in state owned property; requests to declare items surplus, salvage, or scrap).	FE	3						
146	5.1.001	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). a) Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the instrument according to its terms.		See item number 5.2.028 for building construction contracts.	
147	5.1.001	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). b) Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the instrument according to its terms.		See item number 5.2.028 for building construction contracts.	

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					Years	Months	Days				
148	5.1.004	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							
149	5.1.015	Correspondence Tracking Records	Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers.		1						
150	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage.	FE	3						
151	5.1.007	Requisition for copy / printing service		AV							
152	5.1.010	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 = Expiration date of license.			

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					Years	Months	Days				
153	5.1.012	Charge Schedules / Price Lists	Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges	US	3						
154	5.1.012	Charge Documents	Encounter Forms		7					Health Care Financing Administration, Title XVIII	
155	5.1.014	Office Procedures	Any internally distributed manual guidelines, or similar records that establish standard office procedures for an agency; for example, agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering.	US	1						
156	5.1.000	Refunds - Patient 3rd Party	Requests for refunds with supporting documentation may include patient information.	US	1						
157	5.1.000	Reports - collection Agency Turnovers	This record series documents accounts that have been turned over to collection agencies.	US	1						

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					Years	Months	Days				
158	5.1.000	Reports - Medicare Credit Balance	This record series documents Medicare patient accounts with credit balances	US	1						
159	5.2.000	Surveillance Video Tapes	This record series consists of surveillance videotapes created to monitor activities occurring within and outside of institutional buildings.	AV							
160	5.2.002	Building Construction Project Files	Planning, design, and construction records; accepted and rejected bids; correspondence; etc. SEE ALSO 5.2.028).	AC	10			AC = Completion of project	O	SEE ALSO item numbers 5.2.003 and 5.2.028.	
161	5.2.003	Building Plans and Specifications	Includes architectural and engineering drawings, profiles, and blueprints.	LA	2				O		
162	5.2.004	Building Space Request			1						
163	5.2.005	Calibration Records	Equipment or Instrument		10						
164	5.2.007	Damage Reports	Reports of Damage to State property	FE	3						

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					Years	Months	Days				
165	5.2.008	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						
166	5.2.009	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	3						
167	5.2.010	Equipment Manuals		LA							
168	5.2.011	Equipment Warranties		AC	1			AC= After expiration			
169	5.2.014	Inventory - Annual Physical	Property, equipment, supplies verification	FE	3						
170	5.2.015	Inventory, Notices of Equipment Removed		FE	3						
171	5.2.016	Inventory System Update Listings	Listings show all additions, changes, deletions, and transfer time for the monthly processing period	AC				AC = Transfer of information into annual listing.			

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					Years	Months	Days				
172	5.2.018	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						
173	5.2.020	Supply Usage Records	Sutures Log	FE	1						
174	5.2.023	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						
175	5.2.027	Space Utilization Report		AV							
176	5.2.028	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				O	UT system component guidelines. See ALSO item numbers 5.2.002 and 5.2.003.	

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					Years	Months	Days				
177	5.3.007	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.	AC	2			AC = Date of notification of denial or date of withdrawal, as applicable.		CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001 an 5.2.028.	
178	5.3.000	Procurement Card Records	A record of purchase made with UTHSCT Procurement Card. This record series includes but not limited to: Transaction Logs, original charge slip, sales receipt, packing slip, invoice	FE	7					UTHCT Policy based on Federal Office of Management and Budget (OMB) Circular A-21).	
179	5.3.005	Package Slips		AV						Departmental Policy	

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					Years	Months	Days				
180	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations. a) Associated with a contract executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.		CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001 and 5.2.028.	
181	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations. b) Associated with a contract executed, renewed, or amended on or before August 31, 2015.	FE	3						

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					Years	Months	Days				
182	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations. c) Unsuccessful bids that do not meet agency submission requirements and are not included in bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.).	AC	2			AC = Date of notification of denial or date of withdrawal, as applicable.			
183	5.4.000	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				AC = Until termination of license or certificate of registration.			Per 25 TAC 289.202(tt)(2)
184	5.4.000	Contains Survey	Records of surveys performed to detect the presence of radioactive material contamination.	AC				AC = Until termination of license or certificate of registration.			Per 25 TAC 289.202(tt)(2)

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					Years	Months	Days				
185	5.4.000	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)	PM							25 Texas Administrative Code 289
186	5.4.000	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							25 Texas Administrative Code 289
187	5.4.000	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.	PM							25 Texas Administrative Code 289

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					Years	Months	Days				
188	5.4.000	Occurrence / Incident Reports	This record series may include: Occurrence reports submitted by employees using preset criteria for the reporting to the Performance Improvement Council (PIC); investigation reports.	CE	5						
189	5.4.000	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						25 Texas Administrative Code 289 Sec. 502.009(g), Health and Safety Code
190	5.4.000	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.	PM							25 Texas Administrative Code 289

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# STATE OF TEXAS

## Records Retention Schedule

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					Years	Months	Days				
191	5.4.000	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			AC = Date of Death			
192	5.4.001	Accident Reports and Associated Documentation	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the TX Department of Insurance or its predecessors or maintained internally on accident frequency.	CE	5					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.	29 CFR 1904.6.
193	5.4.012	Security Access Records / Computer Systems	A record of permission granted to individuals in a department for access to network or other information systems.	AC	2			AC = Until superseded, date of expiration, or date of termination, whichever is sooner.			
194	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency.	US							

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195	5.4.003	Inspection Records	Fire Safety and other inspection records of agency faculties and equipment.	AC	3			AC = Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency.	I	CAUTION: Does not include inspection reports of building construction. SEE item number 5.2.028.	
196	5.4.000	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			AC = After records of processing have been completed or 6 months after the latest expiration date for the individual product, whichever later.		Standards for blood banks and transfusion services, Reference standard 6.2a Retention of Donor/Unit Records	
197	5.4.000	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.	PM							21 CFR Parts 600 and 200
198	5.4.007	Hazardous Materials Training Records	Training given to employees in an agency hazard communications program.		5						Health and safety code, 502.009 (g).

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199	5.4.000	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 = After records of processing have been completed or 6 months after the latest expiration date for the individual product, whichever later.			
200	5.4.000	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.	PM							
201	5.4.008	Hazard Communications Plans		US	5						Health and Safety Code 502.009(g)
202	5.4.010	Material Safety Data Sheets		AC				AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.			

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					Years	Months	Days				
203	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.		3						
204	5.4.013	Disaster Preparedness and Recovery Plans	Emergency preparedness procedures in the event of severe weather or any potential damage to institutional property due to storms, riots, fires, droughts, floods, etc. which could affect the normal operations).	US						Some information may be exempt from public disclosure, for example: information that controls security access to selected areas.	
205	5.5.000	Communication Tapes and Printouts	Tapes and Printouts of incoming and outgoing telephone and radio communication	AC			30	AC = After completion of tape plus 30 days			
206	5.5.001	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					SEE item number 5.5.006 for TEXAN billing detail.	
207	5.5.003	Station Activity Reports	Internal listing of all incoming/outgoing telephone activity to individual telephone.	AV							

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					Years	Months	Days				
208	5.5.004	System Activity Reports	Internal listing of all incoming and outgoing agency telephone activity.	AV							
301	5.5.006	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					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.	
302	5.6.005	Operations Logs – Vehicles		FE	3						
303		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			AC = Graduation or date of last attendance			

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					Years	Months	Days				
304		Class Schedules – Students		AC	1			AC = Graduation or date of last attendance			
305		Course Contents	Syllabi, faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials	AC	5			AC = Obsolescence of course			
306		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			AC = After completion of course			
400		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							

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401		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			AC = After graduation or date of last attendance.			
402		Course Changes (Add/Drop)	Invasions Systems Enhancement		7						
403		Medical Research Findings (Excluding Published Works)		AV							
404		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						
405		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						Department policy.	42 CFR 493.1101.

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406		Protocols	A protocol is a detailed plan of scientific or medical experiment. Treatment or procedures.	AC	7			AC = After discontinuation			
407		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			AC = Last date of service			
408		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						Texas Department of State Health Services and Centers for Disease Control	

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409		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 = 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.			49 CFR 493.1101

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					Years	Months	Days				
410		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 = 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.			
411		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	7			AC= Vendor Deletion			
412		Requests for information	Preliminary to the procurement of goods or services by direct purchase or bid.	AC				AC= Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.			

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					Years	Months	Days				
413		Assessment of Internal Radiation Exposure	Records of biopsy uptake measurements and associated calculations to determine presence of internal contamination of radioactive material.	PM							25 Texas Administrative Code 289
414		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.	PM							25 Texas Administrative Code 289
415		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						

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416		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			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.			Health and Safety Code §241.103 22 TAC 165.1.
417	5.4.009	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						Health and Safety Code, 502.005 (d).

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418		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			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.			42 CFR 493.1101
500		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							

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501		Final Test reports / tissue antigen	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, histology, cytology records.	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.			
502		Medical Research / Clinical Trials not associated with grants		PM							
503		Juvenile Records	Juvenile Records not referred to Juvenile Court. Include reports, photos and fingerprint records	AC				AC= Destroy immediately			Family Code, Section 58.001(c).
504		Police Case Reports / Arrest Records		PM							
505		Police Incident Reports	Non-criminal incidents the department investigates		5						

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					Years	Months	Days				
506		Police Offense Reports / Felonies	Murder, Manslaughter, or sexual assault	PM							
507		Police Offense Reports / Felonies		AC							
508		Police Offense Reports / Misdemeanors		AC				AC = 75 years, or date of death of individual, if known.			
509	5.4.012	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			AC = Until superseded, date of expiration, or date of termination, whichever sooner.			

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