



December 1, 2016

Dr. Brian McCall
Chancellor
Texas State University System, Lamar Institute of Technology
200 E. 10th Street, Ste 600
Thomas J. Rusk Building,
Austin, TX 78701

RE: Agency records retention schedule approved for use

Dear Dr. McCall:

Your agency's records retention schedule is approved for use as of November 21, 2016.

Your currently approved records retention schedule is available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please ensure all old copies of the schedule are superseded with this recertified copy.

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. 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.

Each agency schedule must be reviewed, updated and submitted for recertification annually for the first two years after the initial approval of the schedule and every five years thereafter. The deadline for submission of your schedule for its next recertification is the last working day of **December 2012**.

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, Erica Wilson, at 512-463-6627 or ewilson@tsl.texas.gov.

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

Sincerely,

Craig Kelso
Director and State Records Administrator

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

www.tsl.texas.gov

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TSLAC

Preserving yesterday
Informing today

cc: State Auditor, State Archivist, Brian McCall

789 EW



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: 789

Agency Name: Lamar Institute of Technology

(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

[Handwritten Signature]

Name (Print or type): Dr. Brian McCall

Date

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

[Handwritten Signature]

Name (Print or type)

Donna Osborne

Date

11/21/16

Cert/Recert No.

1

Amendment No.

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CAUTION

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

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





STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 1 of 47

2. Agency Code	789	3. Agency Name Lamar Institute of Technology				
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.

1.1.002	FIN-01	Audits (Internal and External) Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency	AC+7		AC+7	AC=Publication or release of final audit findings. The record copy of any audit performed by the State Auditor's Office is retained by the agency.		
1.1.004	FIN-02	Legislative Appropriation Requests Including any supporting documentation created and/or used to justify and support legislative appropriations request by an agency.	AC+6		AC+6	I AC=September 1 of odd-numbered years. The archival requirement will be met by sending the required copies of the request to the Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.		
1.1.006	LIT-01	Complaint Records Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+2		AC+2	AC=Final disposition of the complaint. 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		

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	I – Transfer to Uni. Archives O – Review by Uni. Archivist



STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 2 of 47

2. Agency Code	789	3. Agency Name Lamar Institute of Technology				
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.

1.1.007	LIT-02	Correspondence – Administrative	4	4	O	<p>The administrative correspondence of executive staff, 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>		
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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	I – Transfer to Uni. Archives	
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	O – Review by Uni. Archivist	



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 3 of 47

2. Agency Code	789	3. Agency Name					Lamar Institute of Technology	
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1.1.008	LIT-03	Correspondence – General	2		2	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.		
1.1.010	LIT-04	Directives	US+1		US+1	Any document that officially initiates, rescinds, or amends general office procedures.		
1.1.011	LIT-05	Executive orders	US+3		US+3	I Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 4 of 47

2. Agency Code	789	3. Agency Name Lamar Institute of Technology				
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.

1.1.013	LIT-06	Calendars, Appointment and Itinerary Records	CE+1	CE+1	O	<p>Calendar year end: December 31 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>		
1.1.014	PRE-01	<p>Legal opinions & Advice (State Attorney General) From agency legal counsel or the Attorney General, including any requests eliciting the opinions.</p>	AV	AV	O	<p>AV=As long as administratively valuable. The Office of the Attorney General retains copies permanently. 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)	Archival Codes (Field 8)
<p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p>	<p>I – Transfer to Uni. Archives O – Review by Uni. Archivist</p>
<p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>LA – Life of Asset MO – Months</p>
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 5 of 47

2. Agency Code	789	3. Agency Name	Lamar Institute of Technology			
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1.1.019	PIF-01	Public Relations Records	2	2	O	Review required before disposal. News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.		
1.1.020	PRE-02	Public Information Requests – Not Exempted – Includes all correspondence and documentation relating to requests for records that are furnished to the public under the Public Information Act (Chapter 552, Government Code).	AC+1	AC+1		AC=Date request fulfilled		
1.1.021	PRE-03	Public Information Requests – Exempted Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code).	AC+2	AC+2		AC=Date of Notification that records are exempt.		
1.1.023	VP-01	Organization Charts	US	US	I	US=Until superseded		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 6 of 47

2. Agency Code	789	3. Agency Name	Lamar Institute of Technology			
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.

1.1.024	LIT-07	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	AC+3	O	AC=Decision made to implement or not to implement result of planning process.
1.1.026	FIN-03	Texas Register Submissions	AC+1	AC+1		AC=Date of publication in the Texas Register.
1.1.027	PRE-04	Proposed Legislation	AV	AV		AV=As long as administratively valuable. Drafts of proposed legislation and related correspondence.
1.1.038	IEG-01	Customer Surveys Surveys returned by the customers or clients of an agency and the statistical data maintained rating an agency's performance.	AC	AC		AC = Final disposition of summary report.
1.1.040	LIT-08	Speeches, Papers and Presentations Notes or text of speeches, papers, or reports delivered in conjunction with agency work.	AC	AC	O	R=Review required before disposal. AC=End of term in office or termination of service in a state position.
1.1.041	LIT-09	Suggestion System Records	1	1		Suggestions submitted by personnel and responses.

Retention Codes (Field 7)	Archival Codes (Field 8)
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STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 7 of 47

2. Agency Code 789		3. Agency Name Lamar Institute of Technology				
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.

1.1.043	LIT-10	Training Materials	US+1	US+1		Instructional materials by an agency for training entities or individuals.	
1.1.048	PRE-05	Litigation Files Records created by or on behalf of LIT in anticipation of or in the adjudication of a lawsuit.	AC+1	AC+1	O	R=Review required before disposal. AC=As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter, dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	
1.1.055	IFG-02	Strategic Plans Information resources and operational strategic plans prepared in accordance with §2054.095 and §2056.002, Government Code	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 plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission	

Retention Codes (Field 7)	Archival Codes (Field 8)
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CE – Calendar Year End FE – Fiscal Year End	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.

Page 8 of 47

2. Agency Code 789		3. Agency Name Lamar Institute of Technology						
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.	
1.1.056	FAC-01	ADA (Americans with Disabilities Act)	3		3	Self evaluations and plans documenting compliance with the requirements of the ADA. 28 CFR 35.105(c).		

Retention Codes (<i>Field 7</i>)				Archival Codes (<i>Field 8</i>)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Transfer to Uni. Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 9 of 47

2. Agency Code	789	3. Agency Name	Lamar Institute of Technology			
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.

1.1.057	LIT-11	<p>Transitory Information. Records of temporary usefulness that are not an integral part of a records series of LIT, that are not regularly filed within LIT's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an employee or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of LIT's functions.</p>	AC	AC	<p>AC=Purpose of record has been fulfilled. Some examples (voice mail, fax, email, hard copy, etc) are routine messages, telephone message notifications; internal meeting notices, routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the performance of its functions.</p>		
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 Agency or Permanent	MO – Months	Transfer to Uni. Arch	Review by Uni. Arch

The disposal of transitory information need not be documented through destruction signoffs (1.2.001)



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 10 of 47

2. Agency Code	789	3. Agency Name	Lamar Institute of Technology		
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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.
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1.1.058	PRE-06	Meeting Agenda and Minutes Official agenda and minutes of open meetings as defined in TX Gov Code, Chapter 551	PM	PM	I	Agency of origin retains permanent Record Copy. CAUTION: This records series and item numbers 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.	
1.1.063	LIT-12	Staff Meeting Minutes and Notes	1		1	Minutes or notes, and supporting documentation taken at internal agency staff meetings.	

Retention Codes (Field 7)	Archival Codes (Field 8)
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 11 of 47

2. Agency Code	789	3. Agency Name	Lamar Institute of Technology			
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.

1.1.064	IEG-03	Performance Measures Documentation. Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in LIT's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE+3	FE+3	FE=Fiscal year end: August 31 CAUTION: The FE + 3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.		
1.1.065	LIT-13	Reports and Studies (Non-Fiscal) – Raw Data. Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	AV	AV= As long as administratively valuable.		
1.1.066	PRE-07	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	AC= September 1 of odd-numbered calendar years. The archival requirement is met by sending the required copies of the reports to the Agency Archives. 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.		

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 I – Transfer to Uni. Archives O – Review by Uni. Archivist



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 12 of 47

2. Agency Code	789	3. Agency Name	Lamar Institute of Technology			
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.

1.1.067	PRE-08	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 complied by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	3	O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, A, R, or E. SEE page ix for more information.		
1.1.068	IEG-04	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	HR-01	Reports – Activity Reports 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	1		CAUTION: SEE item number 1.1.064		

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STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 13 of 47

2. Agency Code 789		3. Agency Name Lamar Institute of Technology				
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.

1.1.070	HR-02	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	AC+3	O AC=Completion or termination of program, rules, policies or procedures.		
1.2.001	LIT-14	Destruction Authorizations	FE+3	FE+3	FE=Fiscal year end: August 31 Agency level documents authorizing final disposition of records under a certified records retention schedule.		
1.2.003	LIT-15	Forms History File Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	AC+1	AC+1	AC=Discontinuance of use of form.		

Retention Codes (Field 7)				Archival Codes (Field 8)	
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 14 of 47

2. Agency Code	789	3. Agency Name	Lamar Institute of Technology			
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.

1.2.005	PRE-09	Records Retention Schedule (SLR 105)	US	US	US=Until superseded Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.		
1.2.008	PRE-10	Request for Authority to dispose of State Records (RMD 102) Agency copy.	FE+3	FE+3	FE=Fiscal year end: August 31 Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.		
1.2.010	FAC-02	Records Disposition Log Listing of records destroyed or transferred to Archive and Information Services Division, Texas State Library, showing records and date destroyed).	10	10			
1.2.012	LIT-16	Records Inventory Worksheets	US	US	US=Until superseded		

Retention Codes (Field 7)	Archival Codes (Field 8)
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STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 15 of 47

2. Agency Code	789	3. Agency Name Lamar Institute of Technology				
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.

1.2.013	LIT-17	Records Control Locator Aids (includes indexes, card files, shelf lists, etc.	US	US	US=Until superseded These records must carry the same retention period and archival code of the records they support. CAUTION: These records must carry the same retention period and archival code of the records they support.		
1.2.014	PRE-11	Records Management Plan Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US+1	US+1	US-Until superseded		
1.2.015	FIN-04	Disaster Recovery Service Transmittals (RMD 109)	FE+1	FE+1	FE=Fiscal year end: August 31 Also includes documentation for disaster recovery services provided by other entities.		
1.2.016	FIN-05	Disaster Recovery Service Approval (RMD 113) Agency copy of form	AC	AC	AC=Until superseded or termination of service.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 16 of 47

2. Agency Code	789	3. Agency Name					Lamar Institute of Technology
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.	

1.3.001	LIT-118	State Publications	AC+2	AC+2	<p>AC=Until superseded or obsolete.</p> <p>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). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention.</p> <p>For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC §§3.1-3.16).</p>	
Retention Codes (Field 7)					Archival Codes (Field 8)	

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 17 of 47

2. Agency Code	789	3. Agency Name Lamar Institute of Technology				
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1.3.002	PIF-02	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	AV	O	AV=As long as administratively valuable. R=Review required before disposal	
2.1.001	COM-01	Processing Files. Machine-readable files used in the creation, utilization, and updating of master files.	AC	AC		AC=Completion of 3 rd update cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur. CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.	

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 I – Transfer to Uni. Archives O – Review by Uni. Archivist



STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 18 of 47

2. Agency Code	789	3. Agency Name					Lamar Institute of Technology	
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.

2.1.002	COM02	<p>Master Files. Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.</p>	AC		AC	<p>AC= Completion of 3rd update cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.</p> <p>CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.</p>		
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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	I – Transfer to Uni. Archives	
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	O – Review by Uni. Archivist	



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 19 of 47

2. Agency Code	789	3. Agency Name					Lamar Institute of Technology
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.	

2.1.007	COM-03	Software Programs. Automated software applications and operating system files including job control language, program listing/source code, etc.	AC	AC	AC=Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records. 13 TAC6.94		
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Retention Codes (Field 7)				Archival Codes (Field 8)	
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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	O – Review by Uni. Archivist	



STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 20 of 47

2. Agency Code	789	3. Agency Name					Lamar Institute of Technology	
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.

2.1.008	COM-04	<p>Hardware Documentation. Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.</p>	AC		AC	<p>AC=Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read.</p> <p>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</p>		
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Retention Codes (Field 7)				Archival Codes (Field 8)			
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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	O – Review by Uni. Archivist			



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 21 of 47

2. Agency Code	789	3. Agency Name	Lamar Institute of Technology			
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.

2.1.009	COM-05	Technical Documentation Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate, and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	AC	AC	AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records. 13 TAC 6.94	
2.2.016	COM-06	Software Registrations, Warranties and License Agreements.	LA+3	LA+3	LA=The record is retained until disposal of the asset.	

Retention Codes (Field 7)	Archival Codes (Field 8)
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 22 of 47

2. Agency Code	789	3. Agency Name					Lamar Institute of Technology				
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.			

3.1.001	HR-03	Applications for Employment - Not Hired Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	2	2	29 CFR 1602.49 (State Universities) 29 CFR 1602.31 (State Agencies)		
3.1.002	HR-04	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.		
3.1.006	HR-05	Employee Counseling Records Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisorial level except in those agencies with counseling staff.	AC+3	AC+3	AC = Termination of counseling.		

Retention Codes (Field 7) 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	Archival Codes (Field 8) I – Transfer to Uni. Archives O – Review by Uni. Archivist
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 23 of 47

2. Agency Code	789	3. Agency Name Lamar Institute of Technology				
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.

3.1.011	HR-06	Employee Insurance Records Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	AC	AC	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.		
3.1.012	HR-07	Employment Opportunity Announcements Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.	2	2	29 CFR 1602.31 (State Agencies) 29 CFR 1602.49 (State Universities)		
3.1.013	HR-08	Employment Contracts	AC+4	AC+4	AC=Expiration or termination of the contract according to its terms.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 24 of 47

2. Agency Code 789		3. Agency Name Lamar Institute of Technology				
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.

3.1.014	HR-09	Employment Selection Records Includes notes of interviews with candidates, questions asked of applicants, audio and video tapes of job interviews, driving record and previous injury checks, pre-employment physical examinations, pre-employment drug screening test results, polygraph examination results, and all other records that document the selection process.	2	2	29 CFR 1602.31 (State agencies) 29 CFR 1602.49 (State Universities) CAUTION: Does not include criminal history checks. SEE item number 3.1.026.	
3.1.018	HR-10	Grievance Records Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC+2	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	HR-11	Performance Appraisals	2	2	29 CFR 1602.32(c)	

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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	O – Review by Uni. Archivist	



STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 25 of 47

2. Agency Code	789	3. Agency Name Lamar Institute of Technology				
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.

3.1.020	HR-12	<p>Personnel Corrective Action Documentation Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.</p>	AC+5	AC+5	<p>AC = Termination of corrective action.</p> <p>CAUTION: If, during the retention period of this record series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from this series used to support disciplinary action must be retained for the minimum retention period described by item number 3.1.021.</p>		
3.1.021	HR-13	Personnel Disciplinary Action Documentation	AC+5	AC+5	AC = Termination of employment.		
3.1.022	HR-14	Personnel Information or Action Forms	2	2	29 CFR 1602.49(a)		
3.1.023	HR-15	Position / Job Descriptions	AC+4	AC+4	AC=Until superseded or job eliminated. 40 TAC 815.106(i).		

Retention Codes (Field 7)	Archival Codes (Field 8)
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STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 26 of 47

2. Agency Code	789	3. Agency Name					Lamar Institute of Technology		
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.	

3.1.026	HR-16	Criminal History Checks	AC		AC	<p>AC=The criminal history record has served the immediate purpose for which it was obtained.</p> <p>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.</p>		
3.1.027	HR-17	Training and Educational Achievement Records (Individual)	AC+5		AC+5	AC=Termination of employment.		

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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	O – Review by Uni. Archivist			



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 27 of 47

2. Agency Code	789	3. Agency Name					Lamar Institute of Technology
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.

3.1.029	HR-18	Employment Eligibility, Documentation or Verification of Federal reporting form (INS 1-9)	AC+1	AC+1	<p>AC = Termination of employment. 8 CFR 274a.2(b)(2)(i)(A) and (c)(2).</p> <p>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</p>		
3.1.031	HR-19	Employee Benefits – Other than Insurance	AC+2	AC+2	<p>AC=Until superseded or termination of employment.</p> <p>CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.</p>		
3.1.034	HR-20	Resumes – Unsolicited	AV	AV			

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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded				



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 28 of 47

2. Agency Code	789	3. Agency Name					Lamar Institute of Technology				
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.			

3.1.037	PRE-12	Employee Recognition Records	AC+5		AC+5	AC=Termination of employment.		
3.2.001	HR-21	Employee Deduction Authorization	AC+4		AC+4	AC=After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.		
3.2.002	HR-22	Employee Earnings Records	4		4	40 TAC 815.106(i)		
3.2.003	HR-23	Federal Tax Records	AC+4		AC+4	AC=Tax due date, date claim is filed, or date tax is paid whichever is later. 26 CFR31.6001-1(e)(2)		
3.2.004	HR-24	Income Adjustment Authorization	2		2	29 CFR 516.6(c)		
3.2.005	HR-25	W-4 Forms	AC+4		AC+4	AC = Until superseded, obsolete, or upon separation of employee. 26 CFR 31.6001-1 (e)(2).		
3.2.006	HR-26	Wage Rate Tables	2		2	29 CFR 516.6(a)(2)		
3.2.007	FIN-06	Unemployment Compensation Records	AC+5		AC+5	AC=Until superseded, obsolete or separation of employee.		
3.2.008	HR-27	Direct Deposit Application/Authorization	US		US			
3.2.009	HR-28	State Deferred Compensation Records	AC+5		AC+5	AC=All accounts with a vendor or vendors for the individual participant have been closed.		

Retention Codes (Field 7)					Archival Codes (Field 8)				
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 29 of 47

2. Agency Code	789	3. Agency Name					Lamar Institute of Technology				
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.			

3.2.010	HR-29	Human Resources Information System (HRIS) Reports	AC+4		AC+4	AC=Until superseded, obsolete or separation of employee.		
3.3.001	HR-30	Affirmative Action Plan	5		5			
3.3.004	HR-31	Benefit Plans	US+1		US+1	29 CFR 1627.3(b)(2)		
3.3.010	HR-32	Labor Statistic Report	3		3			
3.3.011	HR-33	Former Employee Verification Records	AC+75		AC+75	AC=Termination of employment.		
3.3.015	HR-34	Positions/Job Classification Review File	US+3		US+3			
3.3.020	LIT-19	Work Schedules/Assignments	1		1			
3.3.022	HR-35	Texas Workforce Commission (TWC) Reports	3		3			
3.3.023	FIN-07	Reimbursable Activities, Requests and Authorization (Travel, etc.)	FE+3		FE+3			
3.3.024	PRE-11	Personnel Policies and Procedures	US+3		US+3	Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel.		
3.3.025	HR-36	Job Procedure Records	US+3		US+3	Any documents detailing the procedural duties and responsibilities of positions.		
3.3.026	HR-38	Staff Reports	US+3		US+3	Any reports compiled on aspects of personnel staffing.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 30 of 47

2. Agency Code	789	3. Agency Name					Lamar Institute of Technology				
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.			

3.3.027	HR-39	Aptitude and Skills Tests	US+2		US+2	29 CFR 1602.49		
3.3.028	HR-40	Aptitude and Skills Tests (Test Papers)	2		2	29 CFR 1602.49		
3.3.029	HR-41	Aptitude and Skills Tests (Validation Records)	AC+2		AC+2	AC=As long as the test is used by an agency. 29 CFR 1602.49		
3.3.030	HR-42	Training Administration Records Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern an agency's programs, services, or projects.	US+2		US+2	CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.		
3.3.031	HR-43	EEO Reports and Supporting Documentation	3		3	29 CFR 1602.32, 1602.39, 1602.41, 1602.48 and 1602.50		
3.3.032	HR-44	Equal Pay Records	3		3	29 CFR 1620.32		
3.4.001	HR-45	Accumulated leave Adjustment Requests	FE+3		FE+3			
3.4.002	HR-46	Leave Status Report	FE+3		FE+3			
3.4.003	HR-47	Less Than Full-Time Worked Reports	4		4	Dates and hours. 40 TAC 815.106(i)		
3.4.004	PRE-13	Overtime Authorizations	2		2			

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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	O – Review by Uni. Archivist				



STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 31 of 47

2. Agency Code 789		3. Agency Name Lamar Institute of Technology				
4.	5.	6.	7.	8.	10.	11.
Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	106 No.	TSLAC ONLY Amend. No.

3.4.005	PRE-14	Overtime Schedules	2	2			
3.4.006	FIN-07	Time Cards and Time Sheets	4	4	40 TAC 815.106(i)		
3.4.007	PRE-15	Time off and/or Sick Leave Requests	FE+3	FE+3			
4.1.001	FIN-08	Accounts Payable Information	FE+3	FE+3			
4.1.002	FIN-09	Billing Detail	FE+3	FE+3	CAUTION: Does not include long distance telephone detail. See item numbers 5.5.001, 5.5.006, and 5.5.007.		
4.1.003	FIN-10	Canceled Checks / Stubs / Warrants /Drafts	FE+3	FE+3			
4.1.004	FIN-11	Encumbrance Detail	FE+3	FE+3			
4.1.005	FIN-12	Inventory and Other Cost Files	FE+3	FE+3			
4.1.006	FIN-13	Investment Transaction Files	FE+3	FE+3			
4.1.007	FIN-14	Transfers or Budget Revisions	FE+3	FE+3			
4.1.008	FIN-15	Electronic Fund Transfers	FE+3	FE+3	Direct Deposit Registers		
4.2.001	FIN-16	Cash Deposits Vouchers	FE+3	FE+3	Cash deposit slips.		
4.2.002	FIN-17	Cash Receipts	FE+3	FE+3	Includes receipts for fees (permits, licenses, renewals, etc.)		
4.2.003	FIN-18	Daily Cash Receipts Logs	FE+3	FE+3			

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 32 of 47

2. Agency Code 789		3. Agency Name Lamar Institute of Technology				
4.	5.	6.	7.	8.	10.	11.
Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	106 No.	TSLAC ONLY Amend. No.

4.2.004	FIN-19	Encumbrance Vouchers	FE+3		FE+3	Orders, statements, change orders, etc.		
4.2.005	FIN-20	Purchase Vouchers	FE+3		FE+3	Requisitions, orders, receiving reports, invoices, or statements, change order, best value determinations, etc.		
4.2.006	FIN-21	General Journal Vouchers	FE+3		FE+3			
4.2.007	FIN-22	Expenditure Vouchers	FE+3		FE+3	Travel, payroll, etc.		
4.3.001	FIN-23	Sales Journals or Registers	FE+3		FE+3			
4.3.002	FIN-24	Receipts Journals or Registers	FE+3		FE+3			
4.3.003	FIN-25	Expenditures Journals or Registers	FE+3		FE+3			
4.4.001	FIN-26	General and Subsidiary Ledgers	FE+3		FE+3			
4.4.002	FIN-27	Accounts Receivable Ledgers	FE+3		FE+3			
4.4.003	FIN-28	Accounts Payable Ledgers	FE+3		FE+3			
4.5.001	FIN-29	Worksheets for Preparing Fiscal Reports	FE+3		FE+3			
4.5.002	FIN-30	Internal Fiscal Management Reports	FE+3		FE+3	Includes monthly budget reports		
4.5.003	FIN-31	Annual Financial Reports Required by the General Appropriations Act (100 Day Report)	AC+6		AC+6	AC=September 1 of odd numbered calendar years.		

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CE – Calendar Year End FE – Fiscal Year End	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.

Page 33 of 47

2. Agency Code	789	3. Agency Name	Lamar Institute of Technology			
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.

4.5.005	FIN-32	External Fiscal Reports Special purpose – i.e. federal financial reports, salary reports,, etc. Includes HUB reports	FE+3	FE+3			
4.5.006	FIN-33	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	FE+3			
4.6.001	FIN-34	Balancing Records	FE+3	FE+3			
4.6.002	FIN-35	Reconciliations	FE+3	FE+3			
4.6.003	FIN-36	Cash Counts	FE+3	FE+3			
4.7.001	FIN-37	Accounting Policies and Procedures Manual	US+3	US+3			
4.7.002	FIN-38	Bank Statements	FE+3	FE+3			
4.7.003	FIN-39	Returned Checks / Warrants / Drafts (Uncollectable)	AC+3	AC+3	AC=After deemed uncollectable		
4.7.004	FIN-40	Capital Asset Records	LA+3	LA+3			
4.7.007	FIN-41	Detail Chart of Accounts One for all accounts in use for a fiscal year.	FE+3	FE+3			

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



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 34 of 47

2. Agency Code	789	3. Agency Name Lamar Institute of Technology				
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.

4.7.008	FIN-42	Federal Grant Records	AC+3	AC+3	AC=Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule) CAUTION: Retention requirements may vary depending on the specific federal funding agency. Agencies must ensure that records are retained for the appropriate retention period.		
4.7.011	FIN-43	Texas Building and Procurement Commission Statements (TBPC) Charge or bill statements received by agencies from the TBPC for services provided.	FE+3	FE+3			
4.7.012	FIN-44	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			

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 I – Transfer to Uni. Archives O – Review by Uni. Archivist



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 35 of 47

2. Agency Code	789	3. Agency Name					Lamar Institute of Technology				
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.			

5.1.001	FIN-45	Contracts and Leases	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 and item number 5.1.017 for contract logs.		
5.1.003	FIN-46	Delivery Reports	2	2			
5.1.004	FIN-47	Mail and Telecommunications Listing	US	US			
5.1.005	FIN-48	Postage Records	FE+3	FE+3			
5.1.007	FIN-49	Requisitions for In-Agency / Inter-Agency Copy / Printing Service	AV	AV			
5.1.011	FIN-50	Photocopier and Telefax Usage Logs and Reports	AV	AV			
5.1.012	FIN-51	Charge Schedules / Price Lists	US+3	US+3			
5.1.013	FIN-52	Insurance Policies. For vehicles, equipment, etc.	AC+4	AC+4	For vehicles, equipment, et. AC=Expiration or termination of the policy according to its terms.		
5.1.014	LIT-20	Office Procedures	US+1	US+1			

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CE – Calendar Year End FE – Fiscal Year End	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.

Page 36 of 47

2. Agency Code 789		3. Agency Name Lamar Institute of Technology				
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.

5.1.015	LIT-21	Correspondence Tracking Records	1	1	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.		
5.2.001	FAC-03	Appraisals – Building or Property	AV	AV	O		
5.2.002	FAC-04	Building Construction Project Files	AC+10	AC+10	O	AC=Completion of project.	
5.2.003	FAC-03.1	Building Plans and Specifications	LA	LA	O	State Owned Buildings	
5.2.003	FAC-03.2	Building Plans and specifications	AC+2	AC+2		AC=For Leased Buildings; termination or cancellation of Lease.	
5.2.004	FAC-06	Building Space Requests	1	1			
5.2.006	FAC-07	Property Destruction, Certificates of	FE+3	FE+3			
5.2.007	FAC-08	Damage Reports	FE+3	FE+3		Reports of damage to state property	

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CE – Calendar Year End FE – Fiscal Year End	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.

Page 37 of 47

2. Agency Code	789	3. Agency Name					Lamar Institute of Technology				
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.			

5.2.008	FIN-53	Equipment History File; Equipment Service Agreements	LA+3		LA+3	Agreements or contracts between the agency and equipment vendor to provide maintenance service for equipment. Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc.		
5.2.009	FIN-54	Equipment Inventory Detail Report Forms	FE+5		FE+5	Updates agency portion of the inventory listing and adds, changes, transfers, or delete items from inventory.		
5.2.010	LIT-22	Equipment Manuals	LA		LA			
5.2.011	LIT-23	Equipment Warranties	AC+1		AC+1	AC= Expiration of Warranty		
5.2.012	FAC-09	Estimate Files (Supply and Repair Cost Estimates)	1		1			
5.2.014	FIN-55	Inventory – Annual Physical	FE+3		FE+3	Property, equipment, supply verification.		
5.2.015	FIN-56	Inventory – Notices of Equipment Removed Form	FE+3		FE+3			

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



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 38 of 47

2. Agency Code	789	3. Agency Name					Lamar Institute of Technology				
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.			

5.2.016	FIN-57	Inventory System Update Listings	AC		AC	AC=Transfer of information into annual listing. Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.		
5.2.017	FIN-58	Lost & Stolen Property Reports	FE+3		FE+3			
5.2.019	FIN-59	Service Orders. Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks.	1		1			
5.2.021	FIN-60	Surplus Property Sale Reports	FE+3		FE+3			
5.2.022	FIN-61	Utility Usage Reports	AV		AV			
5.2.023	FIN-62	Year-to-Date Activity (Inventory Listing)	FE+3		FE+3	Shows additions, changes, transfers, and deletions of information within the inventory system. Data include agency, division, tag number, batch, document, transaction date, location, item code, description, and cost.		
5.2.026	LIT-24	Facilities Reservation Logs	2		2	Reservation logs or similar records relating to the use of agency		

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CE – Calendar Year End FE – Fiscal Year End	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.

Page 39 of 47

2. Agency Code	789	3. Agency Name					Lamar Institute of Technology				
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.		

5.2.027	FIN-63	Space Utilization Reports	AV		AV				
5.2.028	FAC-10	Building Construction Contract and Inspection Records.	LA+10		LA+10	O	SEE item numbers 5.2.002 and 5.2.003.		
5.3.002	FIN-64	Freight Bills Paid	FE+3		FE+3				
5.3.003	FIN-65	Freight Claims	AC+2		AC+2		AC= Resolution of claim.		
5.3.007	FIN-66	Bid Documentation	FE+3		FE+3		CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or proposal and its supporting documentation must be retained for the same period as the contract.		
5.3.008	FIN-67	Purchasing Logs	FE+3		FE+3		Log, register, etc. providing a record of purchase orders, issued, orders received, and similar data on procurement status.		
5.4.001	HR-48	Accident Reports and Associated Documents	CE+5		CE+5		29 CFR 1904.33. The Texas Dept. of Insurance retains copies of the reports submitted to it for 50 years.		
5.4.002	LIT-25	Evacuation Plans	US		US		Plans for evacuation of agency facilities in cases of emergency.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 40 of 47

2. Agency Code	789	3. Agency Name Lamar Institute of Technology				
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.

5.4.003	FIN-68	Inspection Records	AC+3	AC+3	AC=Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency. Fire, Safety, and other inspection records of agency facilities and equipment.		
5.4.004	FAC-11	Fire Orders	AC+3	AC+3	Orders issued by Fire Marshall to correct deficiencies in compliance with the fire code. AC=Deficiency corrected.		
5.4.007	FAC-12	Hazardous Materials Training Records	5	5	Records of training given employees in an agency hazard communications program. Texas Health and Safety code, 502.009(g).		
5.4.012	FAC-13	Security Access Records. Records relating to issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to facilities, equipment or automated systems.	AC+2	AC+2	AC= Until superseded, date of expiration, or date of termination, whichever sooner.		
5.4.013	FIN-69	Disaster Preparedness and Recovery Plans	US	US			

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US – Until Superseded

Archival Codes (Field 8)

I – Transfer to Uni. Archives
O – Review by Uni. Archivist



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 41 of 47

2. Agency Code	789	3. Agency Name					Lamar Institute of Technology
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.	

5.5.001	FIN-70	Billing Detail – Telecommunications	FE+3	FE+3	Other than Tex-An. In addition to summary detail, includes any accompanying detailed listing of long distance calls.		
5.5.002	FIN-71	Long Distance Telephone Logs	AV	AV			
5.5.003	COM-07	Station Activity Reports	AV	AV			
5.5.004	COM-08	System Activity Reports	AV	AV			
5.5.006	FIN-72	Billing Detail – Telecommunications	FE+3	FE+3	Tex-An		
5.5.007	FIN-73	Disputed Call Documentation	FE+3	FE+3			
5.6.003	FIN-74	Inspection Repair and Maintenance Records – Vehicles	LA+1	LA+1			
5.6.004	FIN-75	License and Driving Record Checks	AC	AC	AC= Until superseded or until termination of employee.		
5.6.005	FIN-76	Vehicle Use Reports	FE+3	FE+3	Includes mileage, fuel/oil consumption, passengers carried and other related operational information.		
5.6.007	FIN-77	Vehicle Titles and Registrations	LA	LA			
5.6.009	FIN-78	Parking Permits or Assignments	US	US			
	LIT-26	Faculty Grade Books	AC+1	AC+1	AC=End of academic term		
	LIT-27	Academic Grievance Records	AC+2	AC+2	AC=Closure of complaint review		

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



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 42 of 47

2. Agency Code 789		3. Agency Name Lamar Institute of Technology				
4.	5.	6.	7.	8.	10.	11.
Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	106 No.	TSLAC ONLY Amend. No.

	WFD-01	Continuing Education Records (Non-funded courses)	AC+90 Days	AC+90 Days	AC=End of academic term.		
	FIN-79	Fee Assessment & Collection Records	AC+3	AC+3	38 CFR 21.4209 (f) AC= Termination of enrollment		
	STU-01	Financial Aid Fund Accounting Records (FAFAR), ICL, Perkins, CWS, SEOG	AC+5	AC+5	34 CFR 673.32(e)(2); 674.19(3)(3)(1); 675.19(c)(2) & 676.19(c)(2) AC=End of award year		
	STU-02	FAFAR: Pell Grants	AC+5	AC+5	AC = End of award year.		
	STU-03	FAFAR: Local grant, scholarship, loan and work-study programs	FE+3	FE+3			
	STU-04	Applications for testing and result documentations GED	FE+3	FE+3			
	STU-05	Transcripts or other admission or assessment documentation received during an admission period that cannot be matched with an application for admission.	AC+90 Days	AC+90 Days	AC= End of admission period		
	STU-06	Records of students denied admission or who were admitted but did not register.	AC+1	AC+1	AC = End of academic term		
	STD-07	Records of students admitted who did register	AC+5	AC+5	AC = Termination of enrollment		
	STU-08	Academic action notifications	AC+3	AC+3	AC = Termination of enrollment		

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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	O – Review by Uni. Archivist			



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 43 of 47

2. Agency Code	789	3. Agency Name	Lamar Institute of Technology			
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.

STU-09	Advanced placement and credit reports, credit awarded	AC+3	AC+3	AC = Termination of enrollment		
STU-10	Advanced placement & credit reports-credit not awarded	AC+1	AC+1	AC = End of academic term		
STU-11	Course registration and status records	AC+1	AC+1	AC = End of academic term		
STU-12	Degree Plans	AC	AC	AC = Termination of enrollment		
STU-13	Grade Sheets submitted by instructors used in posting grades or credit data to transcripts	AC+5	AC+5	AC = End of academic year		
STU-14	Copies of grade reports provided to students	AC+1	AC+1	AC = End of academic year		
STU-15	Grade appeals or change requests	AC+1	AC+1	AC = Decision or change made		
STU-16	Graduation applications and authorizations	AC	AC	AC = Until graduated		
STU-17	Graduation Lists	PM	PM			
STU-18	Holds and Encumbrances	AC	AC	AC = Until cleared		
STU-19	Personal data update records	AC+3	AC+3	AC = Termination of enrollment		
STU-20	Transcripts	PM	PM			
STU-21	Withdrawal authorization	AC+3	AC+3	AC= End of academic year		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 44 of 47

2. Agency Code 789		3. Agency Name Lamar Institute of Technology				
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.

	STU-22	ICL, Perkins loan, CWS, SEOG Programs	AC+5	AC+5	34 CFR 673.32(e)(2); 674.19(e)(3)(i); 675.19 (c)(2); 676.19(c)(2) AC=End of award year.		
	STU-23	Pell Grant Program	AC+5	AC+5	34 CFR 690.82(B)(1) AC=End of award year		
	STU-24	Stafford & Plus Programs	AC+5	AC+5	34 CFR 682.610(D)(1) AC=End of academic term		
	STU-25	VA educational assistance allowances	AC+3	AC+3	38 CFR 21.4209(F) AC= End of enrollment.		
	STU-26	All other Federal of State grant, scholarship & work study programs	AC+5	AC+5	AC = End of award year.		
	STU-27	All other Federal or State loan programs	AC+5	AC+5	AC = End of the period for which load was intended.		
	STU-28	All local grant, scholarship, loan or work-study programs	AC+3	AC+3	AC = End of award period.		
	STU-29	Records of those who applied for but did not receive financial aid	AC+1	AC+1	AC = End of academic period for which aid was intended.		
	STU-30	Tuition exemption records	FE+3	FE+3			

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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	O – Review by Uni. Archivist	



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 45 of 47

2. Agency Code	789	3. Agency Name	Lamar Institute of Technology			
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.

	STU-31	Access policies—written policies & procedures. Demonstration how a district meets the requirements of the Family Educational & Privacy Act of 1974 as amended and Federal rules adopted under the Act.	US		US				
	STU-32	Access to information: documentation of requests from and disclosures to the student, to a school official for legitimate educational interests, to a party with written consent from the student or to a party seeking directory information.	2		2				
	STU-33	Documentation of requests from and disclosures to any party not included in above.	PM		PM		34CFR 99.32(a)(2)		
	STU-34	Written consents from the student for information disclosure.	PM		PM				
	STU-35	Protest of Record Statements – Statements by students commenting on contested information in a student record, or stating why he or she disagrees with LIT’s decision not to amend a record, or both.	AC		AC		34 CFR 99.21(c)(1) AC = For as long as the record containing the contested information is maintained.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 46 of 47

2. Agency Code	789	3. Agency Name					Lamar Institute of Technology				
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.		

	STU-36	Disciplinary records: records relating to violations that result in expulsion.	3		3					
	STU-37	Disciplinary records: records relating to all other disciplinary action including investigations that do not result in disciplinary action.	AV		AV					
	STU-38	Enrollment census reports	FE+3		FE+3					
	FIN-80	Parking decal and permit records; when fee is levied for parking	FE+3		FE+3					
	STU-39	Recruitment records	3		3			39 CFR 21.4209 (F)(1)(1 copy only)		
	IEG-05	Room scheduling records	AV		AV					
	IEG-06	Statistical reports	PM		PM					
	IEG-07	Accreditation reports	PM		PM					
	LIT-28	Planning records	AV		AV					
	LIT-29	Faculty activity & assignment record	3		3					
	LIT-30	Faculty development leave reports	AC+3		AC+3			AC=Decision made to approve or deny.		
	PRE-16	Promotion & Tenure records	AC+2		AC+2			29 CFR 1602.49 AC=Decision made to approve or deny.		
	VPAA	Curriculum development files	5		5					

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STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 47 of 47

2. Agency Code		789		3. Agency Name			Lamar Institute of Technology	
4.	5.	6.	7.	8.	10.	11.		
Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	106 No.	TSLAC ONLY Amend. No.		

Retention Codes (<i>Field 7</i>)				Archival Codes (<i>Field 8</i>)	
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