

March 14, 2024



Amber Clark  
Director Administration  
Lamar Institute of Technology  
855 E. Lavaca St.  
Beaumont, Texas 77705

Dear Ms. Clark,

The 2nd recertification of your agency's records retention schedule is approved for use as of **3/12/2024**, and it may be accessed on our website at <https://www.tsl.texas.gov/slrn/state/schedules>. Please ensure that all old copies of the schedule are superseded with this certified copy.

Lorenzo de Zavala  
State Archives and  
Library Building

1201 Brazos Street  
Austin, Texas  
78701

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

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

*Commission Chair*  
Martha Wong

*Members*  
David C. Garza  
F. Lynwood Givens  
David Iglesias  
Arthur T. Mann  
Bradley S. Tegeler  
Darryl Tocker

*Director and Librarian*  
Gloria Meraz

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

Each agency schedule must be reviewed, updated, and submitted for recertification according to a timeline established by the Texas State Library and Archives Commission. Your next recertification is scheduled for **March 2029**.

During a certification period, changes may need to be made to your schedule. State rules (13 TAC §6.4) also allow for the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, or if you have any other questions, please contact the Government Information Analyst assigned to your agency:

Anne Poulos  
(512) 463-6627  
[apoulos@tsl.texas.gov](mailto:apoulos@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,

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

Craig Kelso  
Director and State Records Administrator

cc: Agency head

**TSLAC**

*Preserving yesterday  
Informing today  
Inspiring tomorrow*



STATE OF TEXAS  
**Records Retention Schedule Certification**

**SLR 105C**

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

**Section 1. Agency Information**

*(Submitting agencies complete this section only)*

Agency Code 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   
 Name (Print or type) Amber Clark  
 Date 4/12/2023

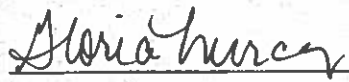
**Section 2. Approvals**

*(Submitting agencies do not write in this section)*

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

Signature Not Required at This Time  
 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) Gloria Meraz  
 Date 3/12/24

Cert/Recert No. 2 Amendment No. \_\_\_\_\_

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# CAUTION

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

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

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

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





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

SLR 105  
 Rev. 2021-07

**Retention Codes (field 7)**

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

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

**Archival Codes (Field 10)**

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 R/O – Review by State/University Archivist  
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					Years	Months	Days				
FIN-01	1.1.002	Audits	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC = Publication or release of final audit findings.		The State Auditor's Office (SAO) retains any copies of its audits performed on Texas state agencies.  See RSIN <a href="#">5.4.018</a> and <a href="#">5.4.019</a> for Audit Plan records.	
FIN-02	1.1.004	Legislative Appropriation Requests (LAR)	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC	6			AC = September 1 of odd-numbered calendar years.		ARCHIVES NOTE: The final version of Legislative Appropriation Requests must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(3)(A). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period.	
LIT-01	1.1.006	Complaint and Feedback Records	Complaints and other unsolicited feedback received by an agency from the public concerning the agency and records pertaining to the resolution of complaints.	AC	2			AC = Date of receipt, action taken, or final disposition of the complaint, whichever later.		CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of RSIN <a href="#">1.1.048</a> .	



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LIT-02	1.1.007	Correspondence-Administrative	Incoming/outgoing and internal leadership, supervisory, managerial, executive, administrative, substantive, and other high-level correspondence in any media, including electronic communication, 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.	US	4				O	<p>ARCHIVES NOTE: Only the administrative correspondence of 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.</p> <p>CAUTION: This records series and RSIN <u>1.1.008</u> 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 <u>RSIN 1.1.004</u>; a letter concerning an audit for that prescribed by <u>RSIN 1.1.002</u>, etc. See also RSIN <u>1.1.011</u>.</p>	
LIT-03	1.1.008	Correspondence - General	Non-Administrative incoming/outgoing and internal correspondence, in any media, including electronic communication, pertaining to or arising from the routine operations of the policies programs, services, or projects of an agency.	US	2					<p>See comment to RSIN <u>1.1.007</u>. See also RSIN <u>1.1.010</u>.</p>	
LIT-04	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						



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LIT-05	1.1.011	Executive Orders	Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.	US	3				I		
LIT-06	1.1.013	Calendars, Appointment, and Itinerary Records	Calendars, appointment books or programs and scheduling, or itinerary records maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees	CE	1				O	<p>ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, agency heads, and board or commission members require archival review. Contact the State Archives when these records have met their retention periods.</p> <p>CAUTION: A record of this type purchased with personal funds but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.</p>	



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PRE-01	1.1.014	Legal Opinions and Advice	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV					O	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation, or opinions rendered for Public Information Act Requests. See RSIN <a href="#">1.1.048</a> , <a href="#">1.1.020</a> , and <a href="#">1.1.021</a> .  ARCHIVES NOTE: Opinions and advice 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. See <a href="#">page ix</a> in the RRS for additional guidelines.	
PIF-01	1.1.019	Public Relations Records	News, press releases, marketing files and collateral, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.		2				O		
HR-62	1.1.020	Public Information Requests - Not Excepted	Includes all correspondence and documentation relating to requests for records that are furnished to the public under the Public Information Act (Chapter 522, Government Code). Also includes withdrawn requests.	AC	1			AC = Date request fulfilled or withdrawn.			



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					Years	Months	Days				
HR-63	1.1.021	Public Information Requests - Excepted	Includes all correspondence and documentation relating to requests for records that are excepted under the Public Information Act (Chapter 522, Government Code, including records provided to the legislature under section 552.008.	AC	2			AC = Date of notification that records are excepted.			
VPAA-01	1.1.023	Organizational Charts	Charts or diagrams that show the structure of an agency and the relationships and relative ranks of its departments and job positions.	US					I	ARCHIVES NOTE; Only charts showing the overall arrangement and administrative structure of the state agency need to be transferred to the Archives and Information Services Division, Texas State Library and Archives Commission. Organizational charts showing division/department level detail are not considered archival.	
LIT-07	1.1.024	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 neither included in nor directly related to other records series in this schedule.	AC	3			AC = Decision made to implement or not to implement results of planning process.	O	ARCHIVES NOTE: Data processing planning records are not archival.	
FIN-03	1.1.026	Texas Register Submissions	Copies of all proposed, withdrawn, emergency, and adopted rules; open meetings notices; or any other documents required by law to be submitted to the Texas Register.	AC	1			AC = Date of publication in the Texas Register.			
PRE-04	1.1.027	Proposed Legislation	Drafts of proposed legislation and related correspondence.	AV							
IEG-01	1.1.038	Surveys and Questionnaires	Surveys soliciting feedback from customers, clients, or stakeholders of an agency, and the statistical data maintained rating an agency's performance.	AC				AC= Final disposition of summary report, or date of decision not to produce a report, as applicable.		See <a href="#">RSIN 1.1.067</a> for summary reports compiled from customer surveys.	





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					Years	Months	Days				
LIT-08	1.1.040	Speeches, Papers, and Presentations	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	2			AC = End of event, until superseded or obsolete.	O	ARCHIVES NOTE: Only speeches, papers, and presentations given by or on behalf of executive staff, board or commission members, division directors and program heads require archival review.	
LIT-10	1.1.043	Training Materials	Instructional materials and other records developed by an agency associated with training the entities or non-personnel individuals it regulates or serves, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids used in external training programs.	AC	1			AC = Close of training session, after training materials superseded, or termination of training program, as applicable.		See RSIN <u>3.3.030</u> for internal personnel training materials  CAUTION: Does not include hazardous material training records. See RSIN <u>5.4.007</u> .	
PRE-05	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 (or of a court on appeal, if applicable) 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. See <u>page ix</u> in the RRS for additional guidelines.	
PRE-17	1.1.053	Registration Logs	Logs or similar records used to register persons appearing before state agencies as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission (TEC).	AC				AC = Report filed with the Texas Ethics Commission, or date quarterly report would have been filed when the agency has no information to report.			



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IEG-02	1.1.055	Strategic Plans	Operational strategic plans, which include descriptions of information resources programs, prepared in accordance with Government Code, 2054.095 and 2056.002. Includes working files and related documentation used in creating the final plan.	AC	6			AC = September 1 of odd-numbered calendar years.		ARCHIVES NOTE: THE final version of Strategic Plans must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(2)(C). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period.	
FAC-01	1.1.056	ADA (Americans with Disabilities Act) Documentation	Self-evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act.		3						28 CFR 35.105(c).
LIT-11	1.1.057	Transitory Information	Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. See <a href="#">page xii</a> in the RRS for examples.	AC				AC = Purpose of record has been fulfilled.		CAUTION: Records management officers should make certain records are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions.  The disposal of transitory information need not be documented through destruction signoffs (RSIN <a href="#">1.2.001</a> ) or in records disposition logs (RSIN <a href="#">1.2.010</a> ), but agencies should establish procedures governing disposal of these records as part of its records management plan (RSIN <a href="#">1.2.014</a> ).	



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PRE-06	1.1.058	Meetings, Agendas, and Minutes of Open	Agendas and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Chapter 551, Government Code.	PM					I	<p>ARCHIVES NOTE: Agency retains permanent record copy. The archival requirement will be met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission.</p> <p>CAUTION: This records series and RSIN <u>1.1.059</u>, <u>1.1.060</u>, <u>1.1061</u>, and <u>1.1.062</u> 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 much be included in the records retention schedule of the administering agency.</p>	
PRE-18	1.1.059	Meetings, Agendas, and Minutes of Audiovisua Recordings of Closed	Agendas, minutes, or audiovisual recordings of closed meetings of state boards, commissions, committees, and councils.	AC	2			AC = The date of the meeting or completion of pending action involving the meeting, whichever later.		See caution comment at RSIN <u>1.1.058</u> .	
PRE-19	1.1.060	Meetings, Audiovisual Recordings of Open	Audiovisual recordings of open meetings of state boards, commissions, committees, and councils.	AC			90	AC = Approval of written minutes of the meeting by the governing body of an Agency.		CAUTION: It is an exception to the AC+90 days retention that if an agency does not prepare written minutes, it must retain recordings of open meetings permanently, following the same retention requirements of RSIN <u>1.1.058</u> . See also caution comment at RSIN <u>1.1.058</u> .	Government Code, 551.104(a).



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PRE-20	1.1.061	Meetings - Notes	Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC			90	AC = Approval of the written minutes by the governing body.		See caution comment at RSIN <a href="#">1.1.058</a> .	
PRE-27	1.1.062	Meetings - Supporting Documentation	Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, public comment forms, etc. Includes documents sent in advance of the meetings for briefing purposes, some of which may not be submitted at an actual meeting.		2				I	See caution comment at RSIN <a href="#">1.1.058</a> .	
LIT-12	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.		1						
IEG-03	1.1.064	Agency Performance Measures Documentation	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE	3					See RSIN <a href="#">1.1068</a> for reports on agency performance measures.  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.	
LIT-13	1.1.065	Reports and Studies (Non-Fiscal) - Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV						See RSIN <a href="#">1.1.067</a> for reports produced from raw data.  CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. See RSIN <a href="#">1.1.064</a> .	



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PRE-07	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. Includes working files and related documentation used in creating final report.	AC	6			AC = September 1 of odd number calendar years.		ARCHIVES NOTE: The final version of these agency reports must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3. The requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Working files and related documentation used in creating the final report may be disposed of at the expiration of the retention period.	
PRE-08	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 that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.		3				O	See RSIN <a href="#">1.1.065</a> for raw data used to produce reports.  ARCHIVES NOTE: Reports are archival when they deal with significant aspects of the agency's programs. For agencies that have had an archival appraisal, separate this records series by each type of archival coding A, R, or E. See <a href="#">page ix</a> in the RRS for additional guidelines.	
IEG-04	1.1.068	Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC	6			AC = September 1 of odd number calendar years.		See RSIN <a href="#">1.1.64</a> for documentation used to produce reports on agency performance measures.	



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HR-01	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: If reports are used to document performance measures, see RSIN 1.1.064.	
HR-02	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 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. Includes working files and related documentation used in creating rules, policies, and procedures.	AC	3			AC = Until superseded, or termination of program, rules, policies, or procedures, whichever applicable.	O	ARCHIVES NOTE: Working files and related documentation used in creating the final rules, policies, and procedures, are not subject to archival requirement and may be disposed of at the expiration of the retention period.	
HR-58	1.1.072	Public Information Reports	Reports made to the Office of Attorney General (OAG) on an agency's Public Information Act activities, per Government Code 552.010.		2						



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HR-59	1.1.073	Administrative Hearings	Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes.	AC	3			AC = Last action.	O	ARCHIVES NOTE: Only records that lead to substantial or statutory changes to the operations of the agency and its policies and procedures should be retained for archival review. Contact the State Archives when these records have met their retention periods.  CAUTION: These records may be maintained with related information, including meeting notices, proofs of publication, and meeting minutes, and require a longer retention period.	
PRE-21	1.1.074	Sunset Review Report and Related Documentation	Sunset Review Report, agency self-study, and other correspondence and supporting documentation related to the Sunset review process for state agencies.	AC	3			AC = After the subsequent Sunset Review.	O	ARCHIVES NOTE: Related documentation includes the agency self-evaluation report, agency response to the commission's draft report, and documentation of the agency's implementation of the commission's final recommendations.	
HR-68	1.1.075	Alternative Dispute Resolutions - Final Agreement	Final agreement described by Government Code, 2009.54(c), associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state agency participated as a party on the agency's behalf.	AC	4			AC = Date of final agreement			Texas Civil Practice and Remedies Code, 154.071.



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HR-60	1.1.076	Subpoenas	Subpoenas for production of evidence produced for litigation in which the state agency is not a party. Includes legal documents requiring recipient to appear in court to testify, or to produce records to be used in litigation.	AC				AC = Date request fulfilled		For subpoenas related to litigation in which the state agency is a party, see RSIN <a href="#">1.1.048</a> .	
HR-61	1.1.077	Release of Records Documentation	Records that document the release of records or information through any method other than a Public Information Act request or subpoena (including employment verification).	AC				AC = Date records released.		See RSIN <a href="#">1.1.020</a> for records released under the Public Information Act. See RSIN <a href="#">1.1.076</a> for records produced for a subpoena. See RSIN <a href="#">1.1.048</a> for records produced for litigation.  CAUTION: Some records releases may require a longer retention period. Agencies must determine if a longer retention period is required based on any federal or state statutes or regulations that apply to the agency's functions. Agency legal staff should be consulted.	
FIN-98	1.1.078	Waivers of Liability	Waivers of liability, including statements signed by volunteers acknowledging non-entitlement to benefits, agreeing to abide by state agency policies, etc.	AC	3			AC = Date of cessation of activity for which the waiver was signed.		CAUTION: If an accident occurs to any person covered by a signed waiver of liability, it must be retained for the same period as accident reports. See RSIN <a href="#">5.4.001</a> and <a href="#">5.4.014a/b</a> .	
PRE-23	1.1.079	Copyright Records	Copyright records which pertain to employees' original work. May include but not limited to a copy of the work itself as submitted to the United States Copyright Office and the corresponding copyright application, registration notice, and supplementary documents.	AC				AC = Expiration of copyright.	O		17 USC 302.





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LIT-14	1.2.001	Destruction Authorizations	Documents authorizing final disposition of records under a certified records retention schedule. Records may also include destruction authorizations (e.g., form RMD 102) approved by Texas State Library and Archives Commission.		3					CAUTION: If destruction authorizations are maintained as part of RSIN <u>1.2.010</u> (Records Disposition Logs), then longer retention period applies.	
LIT-15	1.2.003	Forms History and Maintenance	Master version of all forms used internally and externally by the agency, including subsequent revisions to an agency form or any associated design or design modification requests.	AC	2			AC = Until superseded or use of form is discontinued.			
PRE-09	1.2.005	Records Retention Schedule	A records retention schedule (i.e., form SLR 105) that identifies the records that are created and maintained by an agency, provides the minimum timeframes the records must be retained, and includes instructions for their disposition. This series may include working files and documentation of certification and approval by the Texas State Library and Archives Commission.	US						Original is retained for 50 years by the State and Local Records Management Division, Texas State Library Archives Commission.	
PRE-24	1.2.006	Records Transmittal Forms	Forms used to track the transmittal of records to/from onsite and offsite storage areas or a transfer of physical custody.	AV							
FAC-02	1.2.010	Records Disposition Logs	Logs or similar records listing records disposed of by an agency, which might include records series title, dates of records, and date of disposition.		10					CAUTION: Disposition can mean destroyed or transferred.	



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LIT-16	1.2.012	Records Inventories	Worksheets or working papers used to capture records inventory information, including location tracking and to document existence and requirements of a records series.	US							
LIT-17	1.2.013	Records Access and Locator Aids	Documentation used to provide and improve access to records. Includes indexes, card files, shelf lists, registers, guides, and other finding aids.	AC				AC = When aid is superseded, or no longer needed because associated records have been destroyed.		CAUTION: These records must carry the same retention period and archival code of the records they support.	
PRE-28	1.2.014	Records Management Policies and Procedures	Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US	1						
FIN-04	1.2.015	Disaster Recovery Service Transmittals	Transmittals and related service documentation (e.g. form RMD 109) for disaster recovery services provided by TSLAC or other entities.	AV							
FIN-05	1.2.016	Disaster Recovery Service Approval Forms	Forms used by TSLAC (e.g. form RMD 113) or other entities to establish disaster recovery services, authorize agency staff to access the media, etc.	AC				AC = Until superseded or termination of services.			



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LIT-118	1.3.001	State Publications	One copy of each state publication as defined on <u>page xi</u> of this schedule, except a publication this is subject to a different retention period in this schedule. For example, a meeting agenda (see RSIN <u>1.1.058</u> ) also meets the definition, but is must be retained permanently; RSIN <u>1.1.004</u> , <u>1.1.055</u> , <u>1.1.066</u> , <u>1.1.068</u> , and <u>4.5.003</u> , which also meet the definition, are closely associated with the appropriations process and must be retained AC+6.	AC	2			AC = Until superseded or obsolete.		CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, TSLAC, by law (Government Code, 441.103-441.105). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention.  For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC §§3.1-3.8).	



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PIF-02	1.3.002	Publication Development Files	Physical and digital development and design files used to create State Publications, including but not limited to background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV					O	See RSIN <u>1.3.001</u> for final State Publications created from development files.  ARCHIVES NOTE: Successive and substantive drafts of major publications may be archival. Major is defined by both the publication's authorship and its impact on Texas and Texans. Original artwork, including photo prints, and negatives that have significant value as evidence of agency programs as well as the potential for reuse, may be archival.	
COM-02	2.1.002	Master Files and Application Data	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records and associated processing files. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC				AC = Until electronic records are transferred to and made usable in a new system environment, or there are no electronic records being retained to meet an approved retention period established in this schedule that require the use of the system.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency master files and application data that the files do not fall under records series listed elsewhere.	



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COM-03	2.1.007	Computer Software Programs	Agency-developed automated software applications, operating system files, and associated processing files, including job control language, programs, applications, scripts, source code, etc.	AC				AC = Until electronic records are transferred to and made usable in a new system 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 TAC 6.94
COM-04	2.1.008	Computer Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, equipment control systems, and associated processing files.	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: Hardware 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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COM-05	2.1.009	Hardware and Software Technical Documentation	Records adequate to specify all technical characteristics necessary for reading or processing electronic records; to document modification to computer programs; to access, retrieve, manipulate, and interpret data in an automated system; and allow for their timely, authorized disposition. Records include but are not limited to: user guides, system or sub-system definitions, system specifications, input and output specifications, system flow charts, program flow charts, program maintenance logs, change notices, data element dictionaries, file layouts, code books or tables, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	AC				AC = Until electronic records are transferred to and made usable in a new hardware of software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read.		CAUTION: Hardware and software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94
FIN-82	2.1.010	Audit Trail Records	Files needed for electronic data audits. Records include but are not limited to: reports showing transactions accepted, rejected, suspended, and/or processed; history files or tapes; records of updates to application files; and security logs.	AC				AC = All audit requirements have been met.			



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COM-15	2.2.001	System or Computer Monitoring Records	Hardware and software components for monitoring agency's computer system resources and performance.	AV						The disposal of monitoring records that are automatically overwritten need not be documented through destruction authorizations (RSIN <u>1.2.001</u> ) or in records disposition logs (RSIN <u>1.2.010</u> ) but agencies should establish procedures governing disposal of these records as part of its records management plan (RSIN <u>1.2.014</u> ).	
COM-16	2.2.002	Chargeback Records to Data Processing Services Users	Records documenting usage, costs, billing, cost recovery, budgeting, and administrative functions of computer usage and data processing services for individual units / departments / divisions in an agency.	FE	3						
COM-09	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, production control, system back-up, etc.	US	3					CAUTION: Do not include technical documentation of procedures necessary for reading or processing of electronic records. See RSIN <u>2.1.009</u> .	
COM-10	2.2.011	Data Input Documents	Forms and logs used to enter and reconcile data sets submitted for processing.	AC				AC = Data entered into applicable system and, if required, verified.			



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COM-11	2.2.013	Quality Assurance Records	Information verifying the quality of system, hardware, of software operations. Records include but are not limited to: records of errors or failures and the loss of data resulting from such failures; documentation of abnormal termination and of error-free processing; checks of changes put into production; transaction histories; and other records needed as an audit trail to evaluate data accuracy.	AC				AC = No longer needed as an audit trail for any records modified.		For quality control records related to non-IT procedures, see RSIN <u>5.2.018</u> .	
COM-12	2.2.014	Internet Browser Files	A record of web pages visited during an internet session, including data files of user-specific information created by the webserver, that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.	AV						The disposal of internet history records need not be documented through destruction authorizations (RSIN <u>1.2.001</u> ) or in records disposition logs (RSIN <u>1.2.010</u> ), but agencies should establish procedures governing disposal of these records as part of its records management plan (RSIN <u>1.2.014</u> ).	
COM-06	2.2.016	Software Registrations, Warranties, and License Agreements	Records documenting the registration and licensing of a software application to activate the software for legal use by the end users of a state agency, along with warranties providing that the software will perform in accordance with functional specifications.	LA	3						
COM-13	2.2.017	Help Desk Tickets	Records documenting the request for and response to help desk tickets received by divisions or units such as information technology.	AV							







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HR-08.1	3.1.013a	Employment Contracts - 9/1/2015 and After	Includes a contract or agreement regarding the terms and conditions of employment of an individual and a contract with a vendor for temporary staffing services.  Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the contract according to its terms.			Government Code, 441.1855.
HR-08.2	3.1.013b	Employment Contracts - 8/31/2015 and Prior	Includes a contract or agreement regarding the terms and conditions of employment of an individual and a contract with a vendor for temporary staffing services.  Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the contract according to its terms.		NOTE: Refer to SB20 (84th Leg.) for retention period context.	Government Code, 441.1855.
HR-09	3.1.014	Employment Selection Records	Includes notes of interviews with candidates; questions asked of applicants; audio and videotapes of job interviews; driving record and previous injury checks; pre-employment physical examinations; and all other records that document selection process, except for those noted in Remarks.	AC	2			AC = Date of the making of the record or the personnel action involved, whichever occurs later.		CAUTION: Does not include criminal history checks; see RSIN <u>3.1.026</u> .  Does not include drug screening test results; see RSIN <u>3.1.040a/b/c</u> .  Does not include pre-employment skills tests; see RSIN <u>3.3.027</u> and <u>3.3.028</u> .  Does not include pre-employment polygraph examinations; see RSIN <u>3.1.043</u> .	CFR 1602.49(a)
HR-10	3.1.018	Grievance Records	Records relating to the review of employee grievances or complaints 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 (DOL). See RSIN <u>1.1.048</u> .	



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HR-11	3.1.019	Performance Appraisals	Job evaluations, performance appraisals, or other similar documents used to evaluate the performance of an employee.		2						29 CFR 1620.32(c).
HR-12	3.1.020	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.	AC	5			AC = Termination of corrective action.		CAUTION: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under RSIN <u>3.1.021</u> , all documentation from this series used to support disciplinary action must be retained for the minimum retention period described by RSIN <u>3.1.021</u> .	
HR-13	3.1.021	Personnel Disciplinary Action Documentation	Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force; and for failure to improve performance or conduct following imposition of corrective action May include case for demotion, suspension, or dismissal and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication	AC	5			AC - Termination employment.			
HR-14	3.1.022	Personnel Information or Action Forms	Forms or similar records used to create or change information concerning the records of an employee, including pay grade, position, classification, employee number, evaluation date, and termination of employment.		2						29 CFR 1602.49(a)



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HR-15	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).
HR-49	3.1.024	Physical Examinations/Medical Reports	Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.	AC	2			AC = Until superseded or termination of employment.		CAUTION: Does not include pre-employment physical examination. See RSIN <a href="#">3.1.014</a> .  Does not include medical or physical examinations for employees exposed to hazardous materials. See RSIN <a href="#">5.4.016a/b</a> .	
HR-16	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 = The criminal history record has served the immediate purpose for which it was obtained.		CAUTION: An agency that is authorized to obtain a criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.	
HR-17	3.1.027	Training and Educational Achievement Records (Individual)	Certificates of completion, certifications, licenses, transcripts, test scores, or similar records documenting the training, testing, certification, licensing, or continuing education achievements of an employee.	AC	5			AC= Termination of employment.			
HR-18	3.1.029	Employment Eligibility Documentation	Federal reporting form (Form I-9).	AC				AC = 3 years after date of hire or 1 year after termination of employment, whichever later.			8 CFR 274a.2(b)(20)(i)(A) and (c)(2).
HR-20	3.1.034	Resumes-Unsolicited	Retention period applies if an agency replies to the sender of a resume that it will be kept on file should future job openings occur.	AV						See RSIN <a href="#">3.1.014</a> for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.	



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HR-50	3.1.036	Apprentice Records	Summary of apprenticeship applicant qualifications, evaluation basis for selection or rejection, original applications, job assignments, promotions, separations, layoffs, terminations, compensation records, conditions of work, time records, hours of training provided (separate from labor), minority status, and gender of all selected and rejected applicants.	AC	5						29 CFR 30.8(e).
HR-64	3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc.	AC	5			AC = Termination of employment.			
HR-51	3.1.038	Public Access Option Records	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						CAUTION: Most recent public access election information must be kept as long as the former employee verification records. See <a href="#">RSIN 3.3.011</a> .	
LIT-31	3.1.039	Ombudsman Records	Consultation records, notes, letters, memos, emails, reports, and other documentation.	AC				AC = Final decision or matter closed.		CAUTION: Does not include formal complaint filed with EEOC (Equal Employment Opportunity Commission). If matter becomes a grievance or the subject of counseling or litigation, or employee is subject to disciplinary action, the records are subject to retention in the appropriate records series. See <a href="#">RSIN 1.1.048</a> , <a href="#">3.1.006</a> , <a href="#">3.1.018</a> , <a href="#">3.1.020</a> , and <a href="#">3.1.021</a> .	



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HR-52.1	3.1.040a	Employee Drug Testing and Screening Records - Positive Results and Calibration	Records of employee alcohol test results indicating an alcohol concentration of 0.02 or greater; records of employee verified positive controlled substances test results; documentation of refusals to take required alcohol and/or controlled substances tests; employee evaluation and referrals; calibration documentation; records related to the administration of the alcohol and controlled substances testing programs; copy of each annual calendar year summary.		5						49 CFR 382.403 for commercial motor vehicle drivers.
HR-52.2	3.1.040b	Employee Drug Testing and Screening Records - Collection Records	Records related to the alcohol and controlled substances collection process (except calibration of evidential breath testing devices).		2					See RSIN <u>3.1.040a</u> for calibration documentation.	
HR-52.3	3.1.040c	Employee Drug Testing and Screening Records - Negative Results	Records of negative and canceled controlled substances test results and alcohol test results with a concentration of less than 0.02.		1						
HR-54	3.1.041	Employee Acknowledgement and Agreement Forms	Agreements between employee and agency authorizing certain actions, including acknowledgement forms, telecommuting agreements, outside/secondary employment authorizations, or other documentation that show proof of receipt and awareness of and adherence to agency policies and procedures.	AC	2			AC = Until superseded, obsolete, or date of separation, as applicable.			
HR-55	3.1.042	ADA Accommodation Request	Employee or applicant requests for reasonable accommodation under the ADA (Americans with Disabilities Act).	AC	2			AC = For employees, termination of employment; for job applicants who were not selected, date of application.			29 CFR 1602.31



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HR-56	3.1.043	Polygraph Examination Results	Polygraph examinations and results that are administered as a part of the employment selection process.		3						29 CFR 801.
HR-21	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 employment or after amendment, expiration, or termination of authorization, whichever sooner.			
HR-22	3.2.002	Employee Earnings Records	Payroll records and registers documenting employee earnings, wages, and pay. This may include but is not limited to payroll input records, summary statements, payroll vouchers, payroll detail sheets, and payroll history.		4						40 TAC 815.106(i).
HR-23	3.2.003	Federal Tax Records	Includes 1099, W2, FICA, and other tax records.	AC	4			AC = Tax due date, date the claim is filed, or date tax is paid, whichever later.			26 CFR 31.6001-1(e)(2).
HR-24	3.2.004	Income Adjustment Authorizations	Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.		2						29 CFR 516.6(c).
HR-25	3.2.005	W-4 Forms	Employer's copy of "Employee's Withholding Exemption Certificate."	AC	4			AC = Until superseded, obsolete, or termination of employment.			26 CFR 31.6001-1(e)(2).
HR-26	3.2.006	Wage Rate Tables	Records defining the wage or salary rate for each position in the agency expressed in dollars, grades, or step numbers.		2						29 CFR 516.6)(a)(2).
FIN-06	3.2.007	Unemployment Compensation Records	Records and documentation relating to unemployment compensation claims, including reimbursement of funds disbursed by Texas Workforce Commission (TWC).	AC	5			AC = Resolution of the claim.			



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HR-27	3.2.008	Direct Deposit Application/ Authorizations	Forms used to deposit employee's earnings into a specified personal account.	AC				AC = Until superseded, cancelled, or last payment deposited after termination of employment, whichever applicable.			
HR-28	3.2.009	State Deferred Compensation Records	Records documenting the amount of pension or deferred compensation earned by individual employees.		4						
HR-30	3.3.001a	Affirmative Action Plans - Employees	Affirmative action plans for regular employees and apprenticeship programs.	AC	5			AC = Date of the making of the record or the personnel action involved, whichever occurs later.			29 CFR 30.12(d).
FIN-83	3.3.001b	Affirmative Action Plans - Contractors	Affirmative action plans for contractors and subcontractors.	AC	2			AC = Date of the making of the record or the personnel action involved, whichever occurs later.			41 CFR 60-1.12(a).
HR-31	3.3.004	Benefit Plans	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	AC	1			AC = Until superseded or plan terminated.			29 CFR 1627.3(b)(2).
HR-32	3.3.010	Labor Statistics Reports	Reports providing statistical information on labor force.		3						
HR-33	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 authorization.	AC	75			AC = Termination of employment.		See RSIN <a href="#">3.1.038</a> .	
HR-34	3.3.015	Positions/Job Classification Review File	Records relating to the review and monitoring of job classifications within an agency.	US	3						
LIT-19	3.3.020	Work Schedules/ Assignments	Work, duty, shift, crew, or case schedules, rosters, or assignments.	AV							
HR-35	3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the agency from TWC or its predecessor pertaining to employees.		3						







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HR-42	3.3.030	Internal Training Administrative Records	Records documenting the planning, development, implementation, administration, and evaluation of in-house training programs, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids used in in-house training programs.	AC	2			AC = Close of training session, after training materials superseded, or termination of training program, as applicable.		See RSIN <a href="#">1.1.043</a> for external training records. See RSIN <a href="#">3.1.027</a> for individual employee training records.  CAUTION: Does not include hazardous material training records. See RSIN <a href="#">5.4.007</a> .	
HR-43	3.3.031	EEO Reports and Supporting Documentation	Includes documentation used to complete EEO (Equal Employment Opportunity) reports.		3						29 CFR 1602.32, 1602.48, and 1602.50.
HR-44	3.3.032	Equal Pay Records	Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the federal Equal Pay Act.		2						29 CFR 1630.32(c).
IEG-08	3.3.033	Recruitment Plans	Diversity and recruitment plans and related workforce analyses.		3						Texas Labor Code, 21.501 and 502.
HR-45	3.4.001	Accumulated Leave Adjustment Requests	Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances at end of fiscal year, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE	3						
HR-46	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3						
HR-65	3.4.004	Overtime Schedules and Authorizations	Records created to schedule time worked by employees outside of or in addition to their regular working hours, including approval authorizations.		2					CAUTION: Only includes overtime schedules and authorizations. See RSIN <a href="#">3.4.006</a> for timekeeping records.	



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FIN-07	3.4.006	Time and Attendance Records	Records documenting individual employee's hours worked, including work schedules and documentation evidencing adherence to or deviation from normal hours for those employees working on fixed schedules.	FE	4						40 TAC 815.106(i).
HR-66	3.4.007	Time Off and/or Sick Leave Requests	Requests and authorizations for vacation, compensatory, sick, Family and Medical Leave Act (FMLA), sick pool leave, and other types of authorized leave, and supporting documentation.	FE	3						Government Code, Section 661.152(d); 29 CFR 825.500(b).
HR-57	3.4.008	Sick Leave Pool Documentation	Records documenting number of hours transferred in and out of comprehensive sick leave pool.	FE	3						
FIN-08	4.1.001	Accounts Payable Information	Claims; invoices; statements; copies of checks and purchase orders; expenditure authorizations; ledgers; encumbrance, purchase, general journal, expenditure, and special vouchers; and similar records that serve to document disbursements, including those documenting claims for and reimbursement to employees for travel and other expenses.	FE	3						
FIN-13	4.1.006	Investment Transaction Files	Records documenting the investment of any public funds that evidence the investment of such funds, the cancellation or withdrawal of investments, and similar activities.	FE	5					See RSIN 4.5.002 for reports associated with Investments.	



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FIN-84	4.1.009	Accounts Receivable Information	Bill copies or stubs, statements, billing registers, account cards, deposit warrants, cash receipts, credit card receipts, receipts books, cash transfers, daily cash reports, reconciliations, general journal vouchers, special vouchers, and similar records that serve to document money owed to or received by a state agency and its collection or receipt.	FE	3						
FIN-30	4.5.002	Fiscal Management Reports	Internal and external periodic fiscal management reports and associated worksheets, including federal financial reports, salary reports, HUB reports, investment performance reports, etc.	FE	5					CAUTION: This series does not include fiscal reports created to fulfill grant requirements. See RSIN <u>4.7.008.</u>	



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FIN-31	4.5.003	Annual Financial Reports	Annual Financial Reports (AFR) required by the General Appropriations Act (100 Day Report)	AC	6			AC = September 1 of odd-numbered calendar years.		<p>ARCHIVES NOTE: The final version of Annual Financial Reports must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(2)(a). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period.</p> <p>CAUTION: If an agency does not produce a biennial or annual narrative report described in RSIN <u>1.1.066</u>, 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, TSLAC.</p>	
FIN-85	4.5.007	USAS Reports - Daily/Monthly	Periodic reports compiled from information entered into the Uniform statewide Accounting System (USAS).	AC				AC = Receipt and reconciliation of annual report.			
FIN-86	4.5.009	USAS Reports - Annual	Yearly report compiled from information entered into the Uniform statewide Accounting System (USAS).	FE	3						



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FIN-87	4.5.010	Unclaimed Property Reports and Documentation	Sufficient records to verify information on unclaimed property previously reported to the State Comptroller showing the name and last known address of the apparent owner of reportable unclaimed property, a brief description of the property, and the balance of each unclaimed account if appropriate.	AC	10			AC= Date on which property is reportable.			Property Code, Section 74.103(b).
FIN-37	4.7.001	Accounting Policies and Procedures Manual	Records documenting the internal and external procedural requirements with respect to the accounting department of a state agency.	US	3						
FIN-39	4.7.003	Uncollectible Accounts	Records of accounts deemed uncollectible, including write-off authorizations and returned checks, warrants, and drafts.	AC	3			AC = Data account deemed uncollectable.			
FIN-40	4.7.004	Capital Asses Records	Documentation relating to the capital and fixed assets of a state agency, including equipment or property history cards containing data on initial cost, depreciation schedules or summaries used for capital outlay budgeting, and property sale, auction, or disposal records of agency owned equipment and property.	LA	3						
FIN-88	4.7.005	Claim Files	Records documenting requests for payment of a sum of money according to the terms or a policy or contract.	AC	3			AC = Resolution of claim.			



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FIN-42	4.7.008a	Grant Records - Awarded	This series documents state, federal, and other sponsored grant projects participated in or administered by state agencies. It includes grant authorization records, which provide evidence of the award of grants to or by agencies; grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by agencies.	AC	3			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Records in this series may be subject to Government Code 441.1855. Agencies must ensure that records are retained for the appropriate retention period.	
VPAA-02	4.7.008b	Grants Records - Non Awarded	Non-awarded, denied, or unfunded grant applications and proposals.	AC	2			AC = Date of notification.			
FIN-89	4.7.010	Long-Term Liability Records	Records documenting financial obligations of a state agency that are not payable within one year of the date of the balance sheet, including debentures, loans, deferred tax liabilities, bonds, and pension obligations.	AC	3			AC = Retirement of debt.			
FIN-44	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 the agency.	AC	4			AC = Until superseded, date of expiration, or termination of employee, whichever sooner.			
FIN-99	4.7.013	Federal Tax Information (FTI) Audit Logs	Logs documenting requests and receipt of FTI, including any information created by the recipient that is derived from federal return or return information received from the IRS or obtained through a secondary source.		5						IRS Publication 1075.



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VPAA-03	4.7.014	Indirect Cost Plans	Indirect cost plan and supporting documentation created or maintained in the development of the plan.	AC	3			AC = If submitted for negotiation of rate, date of submission; if not submitted for negotiation, the end of the fiscal year covered by the proposal plan, or other computation.			2 CFR 200.333(f)(1) and (2).
FIN-90	4.8.001	Banking Records	Bank statements, credit card statements, cancelled checks, check registers, deposit slips, debit and credit notices, reconciliations, and other banking related records.	FE	3						
FIN-91	4.9.001	Annual Operating Budgets	Required by the General Appropriations Act Includes encumbrances and documentation about budget transfers and revisions, as well as detail charts of accounts.	FE	3						
FIN-45.1	5.1.001a	Contract Administration Files - 9/1/2015 and After	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.  Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the instrument according to its terms.		See related RSIN <a href="#">5.3.007/a/b/c</a> for bid documentation. See RSIN <a href="#">5.2.028</a> for building construction contracts. See RSIN <a href="#">5.1.017</a> for contract logs	Government Code, 441.1855.





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FIN-45.2	5.1.001b	Contract Administration Files - 8/31/2015 and Prior	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.  Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the instrument according to its terms.		See related RSIN <a href="#">5.3.007/a/b/c</a> for bid documentation. See RSIN <a href="#">5.2.028</a> for building construction contracts. See RSIN <a href="#">5.1.017</a> for contract logs  NOTE: Refer to SB20 (84th Leg.) for retention period context.	Government Code, 441.1855.
FIN-46	5.1.003	Delivery Reports	Records documenting incoming or outgoing deliveries, including through private courier services.		2						
FIN-47	5.1.004	Mail and Telecommunications Listings	Any mailing address, telephone or fax number, or email address records maintained by an agency on its employees or on entities or persons it serves.	US							
FIN-48	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage.	FE	3						
FIN-49	5.1.007	Requisitions for In-Agency or Inter-Agency Copy/Printing Service	Includes word processing and data processing.	AV							
FIN-92	5.1.010	Licenses and Permits for Non-Vehicles	Licenses and permits obtained from extended agencies or organizations in order to perform operations.	AC	2			AC = Expiration date of license or permit.		CAUTION: Does not include licenses and permits issued by an agency as part of its statutory responsibilities.	
FIN-50	5.1.011	Photocopier and Telefax Usage Logs and Reports	Registers or logs of print copies and fax transmissions made by user or in total.	AV							



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					Years	Months	Days				
FIN-51	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						
FIN-52.1	5.1.013a	Insurance Policies 9/1/2015 and After	Liability, theft, fire, health, life, automobile, and other policies for government property and personnel including supporting documentation relevant to the implementation, modification, renewal or replacement of policies.  Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the policy according to its terms.			Government Code, 441.1855.
FIN-52.2	5.1.013b	Insurance Policies - 8/31/2015 and Prior	Liability, theft, fire, health, life, automobile, and other policies for government property and personnel including supporting documentation relevant to the implementation, modification, renewal or replacement of policies.  Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration of termination of the policy according to its terms.		NOTE: Refer to SB20 (84th Leg.) for retention period context.	Government Code, 441.1855.
LIT-20	5.1.014	Office Procedures	Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency, e.g. agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US	1						
LIT-21	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 (USPS) or by private couriers.		1						



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FIN-93	5.1.017	Contact Log	List of agency contracts, leases, and agreements, including general obligation, land lease, utilities, and construction contracts.	FE	3						
SEC(E)-17	5.1.018	Surveillance Videos	Surveillance videos of buildings, facilities, vehicles, or other state property.	AV						See RSIN <a href="#">5.4.001</a> and <a href="#">5.4.014</a> if video is needed for an accident investigation or RSIN <a href="#">1.1.048</a> if the video is needed as evidence in litigation.  The disposal of surveillance videos need not be documented through destruction signoffs (RSIN <a href="#">1.2.001</a> or in records disposition logs (RSIN <a href="#">1.2.010</a> ).  FAC-20 Previously	
FAC-03	5.2.001	Appraisals - Building or Property	Assessments or evaluations of the value of state-owned buildings or property.	AV					O		
FAC-04	5.2.002	Building Construction Project Files	Project records related to planning, design, construction, conversation, or modernization of state facilities, structures, infrastructure, and systems, including feasibility, screening, and implementation studies; topographical and soil surveys and reports; as-builts; laboratory test reports; environmental impact statements; correspondence; successful and unsuccessful bid documentation and other related documentation.	AC	10			AC = Completion of project.	O	See RSIN <a href="#">5.2.003a/b</a> and <a href="#">5.2.028</a> for further retention of completed building documentation. See RSIN <a href="#">5.3.007a/b</a> for additional bid documentation retention periods, including RSIN <a href="#">5.3.007c</a> for invalid bids that do not meet agency submission requirements.  ARCHIVES NOTE: Archival review designation is for state-owned buildings only.	



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FAC-03.1	5.2.003a	Building Plans and Specifications - State Owned	Includes architectural and engineering drawings, profiles, and blueprints of planning, design, construction, conversion, or modernization of state-owned facilities, structures, infrastructure, and systems.	LA					O	See RSIN <a href="#">5.2.002</a> and <a href="#">5.2.028</a> .	
FAC-03.2	5.2.003b	Building Plans and Specifications - Leased	Includes architectural and engineering drawings, profiles, and blueprints of planning, design, construction, conversion, or modernization of leased facilities, structures, infrastructure, and systems.	AC	2			AC = Termination or cancellation of lease according to its terms.		See RSIN <a href="#">5.2.002</a> and <a href="#">5.2.028</a> .	
FAC-06	5.2.004	Building Space Requests	Records documenting building space requests and approvals. Information on request forms may include but is not limited to: the building and room; the reason for the change; parties involved in the request; date of request and approval.		1						
FAC-21	5.2.005	Calibration Records (Equipment or Instrument)	Records documenting the determination, checking, or rectifying of any instrument giving quantitative measurements.		2					CAUTION: Some equipment and instruments may require longer retention period. State agencies must determine if longer retention period is required based on the type of equipment or instruments they use within their agency.	
FAC-07	5.2.006	Inventory and Property Control Records	Records documenting the inventorying, maintenance, usage, checkout, and disposal of supplies, equipment, and property of a state agency. Includes lost, stolen, and damage reports.	FE	3					See RSIN <a href="#">5.2.008</a> for the maintenance logs of individual pieces of equipment.	



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FIN-53	5.2.008	Inspection, Repair, and Maintenance Records - Equipment	Equipment history file, which may include logbooks and requests for installation, moves, service, repair, etc.	LA	3					For service agreements or contracts related to equipment repairs and service, retain in accordance with <u>RSIN 5.1.001</u> . For vehicle maintenance records, see Resin <u>5.6.003</u> .	
LIT-22	5.2.010	Equipment Manuals		LA							
LIT-23	5.2.011	Equipment Warranties		AC	1			AC = Expiration of Warranty			
FAC-09	5.2.012	Estimate Files (Supply and Repair Cost Estimates)	Quotes for minor construction and repair projects and supplies. Includes supporting documentation, as applicable.		1						
FIN-57	5.2.016	Inventory System Update Listings	Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.	AC				AC = Transfer of information into annual listing.		See <u>RSIN 5.2.006</u> for annual inventory listing.	
FAC-22	5.2.018	Quality Control Reports	Documentation and reporting on adherence to procedures that ensure quality of a process product, or service.		2					See <u>RSIN 2.2.013</u> for quality control records related to IT procedures.	
FIN-59	5.2.019	Service Orders	Requests or work orders for repairs or maintenance to facilities, vehicles, or equipment completed by internal agency personnel or external service providers.		1						
FIN-61	5.2.022	Utility Usage Reports	Any type of usage report or log used to monitor utilities such as gas, electric, water, etc.	AV						CAUTION: Does not include utility usage reports for agencies that operate their own utilities.	
FAC-23	5.2.024	Equipment Descriptions and Material Specifications	Equipment and material descriptions and specifications that may include but are not limited to detailed descriptions; lists of raw materials and ingredients; physical characteristics of items; special handling procedures, or technical drawings.	AC	2			AC = Equipment or material is no longer in the agency.			



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LIT-24	5.2.026	Facilities Reservation Logs	Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.		2						
FIN-63	5.2.027	Space Utilization Reports	Reports summarizing efficiency of facility space utilization, which may include data on room usage, demand, allocation, and capacity.	AV							
FAC-10	5.2.028	Building Construction Contract and Inspection Records	Building construction contracts, surety bonds, and inspection records.	LA	10				O	See also RSIN <a href="#">5.2.002</a> and <a href="#">5.2.003a/b</a> .	
CASH-01	5.2.029	Returned Mail	Documentation of mail returned by the postal or other mail delivery services as undeliverable.	AC	1			AC = Date returned.		CAUTION: If corrected address provided and mail rerouted, maintain address update documentation for prescribed retention period.	
FIN-65	5.3.003	Freight Claims	Freight or cargo claims against carrier for damage or loss to a shipment.	AC	2			AC = Resolution of claim.			43 TAC 218.61(d); 49 USC 14706(e).
CASH-02	5.3.004	Shipping Information	Shipping information, including order acknowledgements, packing slips, and related documentation.	AV						CAUTION: Some shipping information may require longer retention period. State agencies must determine if longer retention period is required based on the type of materials shipped to or from their agency.	
FIN-66.1	5.3.007a	Bid Documentation - 9/1/2015 and After	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, awarded and unawarded bids, and bid tabulation/evaluations.  Associated with a contract executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.			Government Code, 441.1855



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FIN-66.2	5.3.007b	Bid Documentation - 8/31/2015 and Prior	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, awarded and unawarded bids, and bid tabulation/evaluations.  Associated with a contract executed, renewed, or amended on or before August 31, 2015.	FE	3					Note: Refer to SB20 (84th Leg.) for retention period context.	Government Code, 441.1855
FIN-66.3	5.3.007c	Bid Documentation - Invalid Bids	Invalid 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.			
FIN-67	5.3.008	Purchasing Logs	Log, register, etc. providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE	3						
FIN-94	5.3.009	Request for Information	Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC				AC = Decision not to proceed with the procurement.		See RSIN <a href="#">1.1.020</a> and <a href="#">1.1.021</a> for public information requests.  CAUTION; If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with RSIN <a href="#">5.3.007a/b/c</a> .	
FIN-95	5.3.010	Vendor Records/W-9	W-9 IRS Form used to request a taxpayer identification number (TIN) for reporting information to the Internal Revenue Service (IRS). This includes W-9 forms received by state agency from vendors.	AC	3			AC = Date account is opened or date instrument purchased.			26 CFR 31.3406(h)-3(g).



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HR-48	5.4.001	Occupational Accident Reports and Associated Documentation	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the State Office of Risk Management (SORM) or its predecessors or maintained internally on accident frequency.	CE	5					See RSIN <a href="#">5.4014a/b</a> for non-employee accidents.	29 CFR 1904.33; 28 TAC 120.1(c).
LIT-25	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency.	US							
FIN-68	5.4.003	Safety, Drill, and Inspection Records	Fire, safety, emergency drill, alarm, and other inspection records of agency facilities, and equipment, including orders issued by inspectors to correct deficiencies in compliance with any code or regulations.	AC	3			AC = Date of drill, alarm, inspection, or date of the correction of deficiency, whichever applicable.		CAUTION: Does not include inspection reports of building construction. See RSIN <a href="#">5.2.028</a> .	
EHS(E)-01	5.4.007	Hazardous Materials Training Records	Records of training given to employees in an agency hazard communications program. May include but is not limited to date of class, roster of attendees, subjects covered, and instructors.		5					See RSIN <a href="#">3.1.027</a> for individual employee training records.  FAC-12 Previously	Texas Health and Safety code, 502.009(g).
EHS(H)-02	5.4.008	Hazard Communication Plans	Plan that provides information to employees about the hazardous chemicals to which they may be exposed to in their workplace.	US	5					FAC-14 Previously	Texas Health and Safety code, 502.009(g).
EHS(E)-03	5.4.009	Workplace Chemical Lists	List of hazardous chemical normally present in the workplace.		30					FAC-15 Previously	Texas Health and Safety code, 502.005(d).
EHS(E)-08	5.4.010	Safety Data Sheets	Safety Data Sheets (SDS) that list information relating to occupational safety and health for the use of various substances and products.	AC				AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.		CAUTION: If Workplace Chemical Lists (RSIN <a href="#">5.4.009</a> ) are not maintained, these records must be maintained for 30 years.  FAC-19 Previously	29 CFR 1910.1020(d)(1)(ii)(B)





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LIT-32	5.4.011	Visitor Control Registers	Log, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.		3						
FAC-13	5.4.012	Security Access Records	Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency or state facilities, equipment, or automated systems.	AC	2			AC = Until superseded, date of expiration, or date of termination, whichever sooner.			
FIN-69	5.4.013	Continuity of Operations Plans (COOP)	Plans developed (per Texas Labor Code 412.054) to mitigate the damage of potential events that could endanger an agency's ability to function. Includes disaster preparedness, response, and recovery plans.	US						See RSIN 5.4.017 for records related to responding or recovering from an emergency.	
FIN-69.1	5.4.014a	Accident Reports - Adults	Reports of accidents to adults on state property or in any other situation in which the state agency could be a party to a lawsuit.	AC	3			AC = Date of report, or if a claim is filed, after settlement or denial of claim, whichever applicable.			
FIN-69.2	5.4.014b	Accident Reports - Minors	Reports of accidents to minors on state property or in any other situation in which the state agency could be a party to a lawsuit.	AC	3			AC = Date minor reaches the age of majority, or if a claim filed, after settlement of denial, whichever applicable.			



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EHS(E)-04	5.4.015	Hazardous Materials - Administrative Records	This series documents the use of hazardous carcinogenic compounds, building by building survey and plan to correct asbestos and other material hazards. This series may include but is not limited to: surveys; monitoring tests and reports; data forms; building plans; correction checklists; removal job records; research protocols; lists of carcinogenic compounds used; environmental, biological, and material safety monitoring reports concerning toxic substances and harmful physical agents in the workplace, including analyse derived from such reports.	AC	30			AC = Date of project or research completion.		See RSIN <u>5.4.016a/b</u> for hazardous material exposure records.  FAC-16 Previously	29 CFR 1910.1001; 29 CFR 1910.1020(d)(ii); 25 TAC 295.62(a)
EHS(E)-05	5.4.016a	Hazardous Materials - Employee Exposure Records	Environmental, biological, and material safety monitoring reports, including health or physical examination reports or certificates of employees, who have experienced exposure to toxic substances, harmful physical agent, or bloodborne pathogens in the workplace, including analyses derived from such reports.	AC	30			AC = Termination of employment		FAC-17-1 Previously	29 CFR 1910.1020(d); 29 CFR 1910.1001; 29 CFR 1910.1020(d)(1)(ii).
EHS(E)-06	5.4.016b	Hazardous Materials - Periodic Monitoring	Environmental, biological, and material safety monitoring reports, including health or physical examination reports or certificates of employees, for whom periodic monitoring of health or fitness is required concerning toxic substances, harmful physical agent, or bloodborne pathogens in the workplace, including analyses derived from such reports.	US	2					FAC-17-2 Previously	29 CFR 1910.1020(d); 29 CFR 1910.1001; 29 CFR 1910.1020(d)(1)(ii).



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EHS(E)-07	5.4.017	Emergency Response and Recovery Records	This series documents the events and damages to institutional property due to storms, riots, fires, droughts, floods, and other events affecting citizens and facilities within the jurisdiction of the institution. This series may include but is not limited to: diaries; logs; reports; photographs; notes which indicate or document what happened, when, and where; and related documentation and correspondence.	AC	3				O	See RSIN <a href="#">5.4.013</a> for Continuity of Operations Plans (COOP).  CAUTION: If grant monies are received to assist with the response or recovery, the retention requirements for this series may vary depending on the specific funding agency.  FAC-18 Previously	
FIN-97	5.4.018	Annual Audit Plan	Includes working papers and agency risk assessment used to develop the plan, per Texas Internal Auditing Act requirement.	AC	7			AC = After final plan has been issued.		See RSIN <a href="#">1.1.002</a> for individual Audit records not related to the peer review of an Audit Plan.	Government Code, 2102.013
HR-69	5.4.019	Audit Peer Review - Working Papers	Documents collected or generated as part of the process of reviewing other state agency internal audit programs. Includes but is not limited to: self - assessments, worksheets, surveys, or questionnaires, evaluations, and other documents as described in the State Agency Internal Audit Forum (SAIAF) Peer Review Manual.	AC	1			AC = After final report has been issued.		See RSIN <a href="#">1.1.002</a> for individual Audit records not related to the development of the Audit Plan.	Government Code, 2102.007(a)(5).
FIN-71	5.5.002	Telephone Activity Records	Telephone logs created for internal documentation purposes; station activity reports of internal listings of incoming/outgoing telephone activity to individual telephone stations; operator call transfers; summary detail reports; and system activity reports of internal listings of all incoming/outgoing agency telephone activity.	AV						See RSIN <a href="#">4.1.001</a> for telephone bills.	



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FIN-73	5.5.007	Disputed Call Documentation	Documentation relating to disputed long-distance calls, including documents evidencing repayment by employees for personal long-distance use.	AC	3			AC = Dispute resolved or repaid +FE			
FIN-74	5.6.003	Inspection, Repair, and Maintenance Records - Vehicles	Records and documentation related to inspections, repairs, and maintenance for state vehicles.	LA	1					See RSIN <a href="#">5.2.008</a> for non-vehicle equipment maintenance records.	
FIN-75	5.6.004	License and Driving Record Checks		AC				AC = Until superseded or until termination of employment.			
FIN-76	5.6.005	Vehicle Use Reports	Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	FE	3						
FIN-77	5.6.007	Vehicle Titles and Registrations	Vehicle titles, registration information, and owner manuals for state vehicles.	LA							
FIN-78	5.6.009	Parking Permits or Assignments	Records documenting issuance of parking permits and assignments.	US						See RSIN <a href="#">4.1.009</a> for payment of permit fees.	
AAR-01	11.1.001	Alumni Association Program Records	Records documenting the implementation of programs administered by the office such as marketing products, credit cards, insurance, dues information, and football tickets		5				O		
AAR-02	11.1.002	Alumni Records	Alumni affair records. May include but not limited to: lists of alumni club members, degree recipients, or class officers; minutes, bylaws and directories of clubs; and promotional materials concerning annual gatherings, homecoming, and alumni services.	AV	1				I	See RSIN <a href="#">5.1.004</a> for alumni mailing list.	



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DEV-01	11.1.003	Award Administration and History Records	Records documenting the administration, rules, and history of awards, fellowships, and scholarships based on merit or achievement. May include but not limited to: eligibility terms and selection criteria; award history and information on funding sources; award notifications; summary lists of winners, and biographies of winners.	AC					O	AC = Termination of award.  ARCHIVES NOTE: Only institutional awards merit archival review. Department-level awards do not need to be reviewed for archival value.  See RSIN 1.1.019 for press releases.  See RSIN 11.1.004 for award selection committee records	
HR-70	11.1.004	Award Selection Records	Selection committee records for institutional faculty, staff, students, and alumni considered for awards, fellowships, and scholarships based on merit or achievement. May include but not limited to: applications and supporting documents; letters of award notification, acceptance, or denial; vote tallies and ranking sheets.		2					See RSIN 3.1.037 for records of an employee receiving an award.  See RSIN 11.1.003 for award administration and history records.	



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PIF-07	11.1.007	Event Administration Records - University Special Events	Materials related to the planning and arrangement of informative sessions, special lecture series, lectureships, short-courses, workshops, training programs, excursions, and celebratory events for members of the institution and the communities it serves. May include but not limited to: promotional and publicity materials; press releases and news clippings; photographs; presentation materials and handouts; honoraria records; schedules of speakers and activities; registration and attendance lists; participant evaluations; and related documentation and correspondence.	AC	4				O	AC = Completion of the event.  See RSIN 11.1.006 for routine event administration records	
PIF-04	11.1.014	Subject Files-Media and Communications	Subject files providing background information on institutional faculty and staff, buildings, events, traditions, and other special topics that document a university's history and culture. The records may be used to support research, in responses to inquiries, and other purposes. May include but not limited to: newspaper clippings; photographs; published and unpublished historical sketches; pamphlets; statistics; ephemera; biographical sketches; vitae; videos; personal history data sheets; newspaper clippings; retirement notices; funeral programs; and obituaries.	AV					O	See RSIN 1.1.019 for press releases.  See RSIN 1.1.020/1.1.021 for Public Information Requests.  See RSIN 1.1.057 for classification of materials that are weeded out (as unusable, almost-duplicates, etc.)	



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VPAA-04	12.1.001	Faculty Tenure Records	Evaluations, recommendations, and similar documentation relating to the review process for tenure for all faculty or staff in the tenure track.	AC	2			AC = Date of the making of the record or the personnel action involved, whichever occurs later.	O	CAUTION: Retention period should be longer if a university's tenure review cycle requires it.  For employment performance and appraisal records, see RRS Section 3.1.	29 CFR 1602.49.
FIN-100	12.3.001	Timecards and Time Sheets--Work-Study Students	Timecards, time sheets, and work-study time certificates documenting hours worked by work-study student employees. The series is used for payroll purposes and to meet federal requirements for documenting time worked by work-study students.	AC	3			AC = End of award year for which the aid was awarded and disbursed.		See RSIN 3.4.006 for all other timecards and time sheets, including those of non-work-study student employees.	34 CFR 668.24(e)(1), 34 CFR 675.19(b).
DEV-01a	13.2.001	Donor Files	Includes individual donor and prospective donor files.	AC	1			AC = Prospect ceases to be viable.	I	CAUTION: Includes donor or prospective donor information only. For records of gifts, see RSIN 13.2.003 and 13.2.005.	
DEV-02a	13.2.005	Gift Records—Institutional	Potential or realized private, corporate, or public agency funding to the institution, including major endowments and trusts. May include but not limited to: letters and agreements of gift, copies of bequest instruments and wills from individuals or estates, and related documentation and correspondence.	PM					I		



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STU-07	15.1.001	Admissions Records - Enrolled/Accepted	Applications and supplemental materials submitted by individuals, including international students, seeking admission and enrolling in the institution or a university program. May include but not limited to: acceptance letters; applications for admission; entrance exam reports; letters of recommendation; health history forms; readmission forms; recruitment materials; test scores; residency classification forms; transcripts from other colleges; and transcripts from high school.	AC	3			AC = Graduation, date of last attendance, or separation from program, as applicable.		CAUTION: International student academic records must be retained at least 1 year after final notice to USCIS.	8 CFR 214.3(g).
STU-06	15.1.002	Admissions Records - Not Enrolled/Denied	Denied applications or applications that were approved but applicant did not enroll in institution or program (includes international applicants). May include but not limited to: acceptance letters; applications for admission; entrance exam reports; letters of recommendation; health history forms; readmission forms; recruitment materials; test scores; residency classification forms; transcripts from other colleges; and transcripts from high school.	AC	1			AC = End of application term.		CAUTION: International student academic records must be retained at least 1 year after final notice to USCIS.	





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STU-58	15.1.006	Standard Test Administration Records	Records of the services rendered to clients for standardized tests and admissions exams for partner organizations, such as SAT, ACT, GRE, MCAT, PCAT, GMAT, NTE, VCAT, and TOEFL. May include but not limited to: testing rules and regulations; rosters of test takers; seating charts; and supervisors' reports.	AC	1			AC = End of testing period.		CAUTION: Testing centers must retain records of testing according to the procedures and requirements established by the contracting organization.  CAUTION: This series does not include test scores.  See RSIN 4.1.009 for testing payment vouchers.	
STU-59	15.1.007	Residency Affidavits and Documentation	Affidavits and declarations filed by students regarding state residency status which is critical for determining tuition status.	AC	3			AC = Graduation, or date of last attendance.		See RSIN 15.1.002 for residency classification forms submitted by applicants who did not enroll.	Texas Education Code 54.052.
STU-08	15.2.001	Academic Action Authorizations	Authorizations for academic actions, such as academic probation, suspensions, dismissals, reinstatements, etc.	AC	3			AC = Graduation or date of last attendance.		See RSIN <u>15.5.007</u> for disciplinary action records.	
STU-09	15.2.002	Advanced Placement and Credit Records Awarded	Transfer credit evaluations, national or state standardized test scores and reports (e.g., CLEP, AP, Departmental, IB, SAT II, DSST), credit by examination authorizations and reports, military course documentation (e.g., USAFI) and evaluations, non-traditional transcripts and credentials, life experience records, requests for advanced credit, and similar documentation used by a university to evaluate and determine award of credit by advanced placement.	AC	3			AC = Graduation or date of last attendance.			
STU-10	15.2.003	Advanced Placement and Credit Records - Not Awarded	Denied requests for transfer credits and/or advanced placement.	AC	1			AC = End of academic year in which decision made.			



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STU-11	15.2.007	Course Registration and Status Records	Registration forms, class rosters, class schedules, and similar records providing information on which courses students are registered for at the beginning of an academic term, including documentation evidencing the conditions under which courses are undertaken (e.g., audit, pass/fail, and credit/no credit authorizations or approvals) or evidencing changes to registration status during the term (e.g., add/drop forms and withdrawal authorizations by student or instructor).	AV							
STU-51	15.2.008	Curriculum Change Authorizations	Student requests to change their field of major study, add or remove a simultaneous major, or add or change a minor.	AV							
STU-60	15.2.009	Departmental Student Information Files	Up-to-date departmental information on students' activity from point of enrollment to graduation or date of last attendance. May include but not limited to: personal data, graduate student qualifying examinations, placement tests, partial transcripts, and evidence of graduation or last date of attendance.	AC	3			AC = Student separation from the department or institution.		CAUTION: International student academic records must be retained at least 1 year after final note to USCIS.  SEE RSIN 15.2.026 for student advising records.  See RSIN 15.5.007 for disciplinary action records.	
STU-38	15.2.010	Enrollment Census Reports (4th and 12th Class Day Rosters)	Attendance reports prepared by faculty on class census day and used as source documentation for enrollment reports submitted to the Texas Higher Education Coordinating Board (THECB).	FE	3						



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LIT-26	15.2.011	Faculty Grade Book	Faculty grade books showing students' performance in the course and work completed. Includes grade sheets and other materials that permit a reconstruction of a student's graded performance in a course.	AC				AC = Expiration of grade appeal period		See RSIN 15.2.012 for official Registrar copies of grades.	
STU-40	15.2.012	Original Grade Sheets and Grade Changes	Permanent record cards, grade cards, grade sheets, and grade change forms serving as the basis for students' official academic records. Grade sheets may include student names and social security numbers or ID numbers; course titles and numbers; sections; grades awarded; and instructors' signatures.	PM						CAUTION: This retention period applies to records of the Registrar.  See RSIN 15.2.011 for departmental copies of grade sheets.	
STU-70	15.2.013	Student Coursework and Grade Reports	Student coursework (e.g., examinations, quizzes, papers) in custody of institution that is needed as supporting documentation for grade books and grade report cards distributed to students.	AC	1			AC = Course completion.		CAUTION: Coursework under dispute may not be destroyed until the resolution of the dispute.  See RSIN 15.2.009 for graduate student qualifying examinations.  See RSIN 15.2.011 for grade book.	
STU-41	15.2.014	Graduation and Diploma Administration	Student applications for graduation, degree audit forms, graduation authorizations, and diploma distribution records.	AC	1			AC = Graduation or last date of attendance.			
STU-42	15.2.017	Hazelwood Act Documentation	Applications and student eligibility determinations to claim the Hazelwood exemption and institutional records to track benefit hours claimed.	AC	3			AC = Last date of attendance, or date application denied, as applicable.		See RSIN 15.2.033 for Veterans Affairs Records .	40 TAC 461.130.



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STU-18	15.2.019	Holds and Encumbrances	Documents used to place and remove holds on registration, student services, or the release of transcripts or other academic data until the subject of the hold/encumbrance takes a specific action.	AC				AC = Date of release.			
STU-43	15.2.020	Independent Study Records	Departmental approval for students to enroll in independent study courses. May include but not limited to: permission sheets with students' names; course names; number of credits; and faculty signatures.	AC	2			AC = Student separation from the department or institution.			
STU-19	15.2.023	Personal Data and Name Change Records	Student or applicant name changes, change of address forms, race/ethnicity questionnaires, and similar source documentation used to update personal data information on transcripts or other student records.	AV							
STU-44	15.2.026	Student Advising Records	Academic advising records, including advisors' notes, advising checklists, and unofficial or partial copies of grade reports.	AC	3			AC = Student separation from the department or institution.			
STU-45	15.2.027	Student Certification Records—Academic	Student completion of certificate programs offered by university academic programs.	AC	5			AC = Date of last attendance		CAUTION: Transcript notes regarding academic certifications awarded are maintained permanently by the Registrar.  See RSIN 15.2.028 for professional certification records (e.g., teacher certification records).	



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STU-20	15.2.032	Transcripts	Transcript, or a record equivalent in function, of the academic achievement of each enrolled student, documenting courses taken, credits granted, grades received, and any degrees or certifications awarded (including any narrative assessments or evaluations prepared in lieu of an assigned grade).	PM							
STU-46	15.2.033	Veterans Affairs Records	Certification of Enrollment reports required by the U.S. Department of Veterans Affairs (VA) and individual veteran student records that certify to the VA that the student is eligible for educational benefits, is currently enrolled at the institution in a qualifying curriculum and is maintaining standards required to receive entitlements.	AC	3			AC = Graduation, date of last attendance, or end of certification period, as applicable.		See RSIN 15.2.017 for Hazlewood Act documentation.	38 CFR 21.4209(f), US Department of Veterans Affairs School Certifying Official Handbook.
STU-21	15.2.035	Non-Academic Withdrawal Records	Requests and authorizations for a student to withdraw from classes after calendar deadlines without academic penalty for reasons acceptable to a university such as health or family issues.	AV							



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STU-48	15.3.002	Financial Aid Application, Award, and Disbursement Records—All Federal, State, Local, and Institutional Grants, Scholarships, and Work@Study Programs	Approved student applications and disbursement records for all local, state, federal, or institutional grants, scholarships, and work@study programs not covered elsewhere in schedule. May include but not limited to: financial aid need analysis and eligibility forms; financial aid transcripts; copies of documents submitted by students or parents for verification of student aid application information; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors; work@study certifications and time reports; documentation of entrance and exit interviews; and correspondence. Includes Federal Work-Study (FWS), Federal Supplemental Educational Opportunity Grant (FSEOG), and Pell Grant records.	AC	3			AC = End of the award period, or submission of annual report for the award year, whichever later.		See RSIN 15.3.010 for veterans' assistance programs.	34 CFR 668.24(e), 34 CFR 675.19(b)(1), 34 CFR 676.19(b), 34 CFR 690.82(a).



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STU-47	15.3.003	Financial Aid Application and Award Records—All Federal, State, Local, and Institutional Loan Programs	Financial aid applications for federal, state, local, or institutional loans not included elsewhere in schedule, including Income Contingent Loans (ICL), Perkins Loans, Federal Family Education Program Loans (Stafford Loans, Unsubsidized Stafford Loans, Federal PLUS Loans, and Federal Consolidation Loans) and Direct Loans (Direct Unsubsidized Loans, Direct PLUS Loans, and Direct Consolidation Loans). May include but not limited to: approved student applications; Student Aid Report (SAR) or institutional Student Information Record (ISIR) used to determine eligibility for Title IV, HEA program funds; documentation of each student's or parent borrower's eligibility; loan counseling; and data verification forms and reports.	AC	3			AC = End of the award period, or submission of annual report for the award year, whichever later.		See RSIN 15.3.005 for Health Profession and Nursing Student Loan program applications.	34 CFR 668.24(e), 34 CFR 674.19(e)(3), 34 CFR 682.610(a)(2).
STU-29	15.3.007	Financial Aid Application and Award Records—Non-Awarded	Denied applications for financial aid	AC	1			AC = End of academic period for which aid denied.			



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STU-49	15.3.010	Financial Aid Application, Award, and Disbursement Records—Veterans Administration Education Assistance Allowances	Approved student applications and disbursement records for Veterans Administration (VA) benefits. May include but not limited to: financial aid need analysis and eligibility forms; financial aid transcripts; copies of documents submitted by students for verification of student aid application information; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors; and documentation of entrance and exit interviews.	AC	3			AC = Termination of enrollment.			38 CFR 21.4209(f).





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STU-50	15.3.011	Financial Aid Disbursement and Repayment Records— All Federal, State, Local, and Institutional Loan Programs	Disbursement and repayment records for loans not included elsewhere in schedule, including Income Contingent Loans (ICL), Perkins Loans, Federal Family Education Program Loans (Stafford Loans, Unsubsidized Stafford Loans, Federal PLUS Loans, and Federal Consolidation Loans) and Direct Loans (Direct Unsubsidized Loans, Direct PLUS Loans, and Direct Consolidation Loans). May include but not limited to: receipts; account cards documenting amount of loan, payment period, and loan period; calculations used to determine amount awarded; date and amount of each disbursement; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; amount, date, and basis of institution's calculation of any refunds or overpayments due if student withdraws; overpayments; documentation of entrance and	AC	3			AC = Date of final repayment or cancellation		See RSIN 15.3.018 for Health Profession and Nursing Student Loan program payments.	34 CFR 668.24(e), 34 CFR 674.19(e)(3), 34 CFR 682.610(a)(2).
STU-72	15.3.023	Financial Aid Programs	Documentation of the university's participation in financial aid programs, such as program participation agreements and required reports.	AC	3			AC = End of award year in which all reporting is finalized.		34 CFR 668.24(e)(1)(i), 324 CFR 674.19(e)(3)(i), 34 CFR 675.19(b)(1), 34 CFR 676.19(b), 45 CFR 74.53(b), 34 CFR 690.82(a)	



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STU-30	15.3.027	Tuition Exemption and Remission Records	Applications for and supporting documentation evidencing the grant of tuition exemptions or remissions. May include but not limited to: authorizations; reconciled lists; and account summaries.	AC	3			AC = End of award year.		See RSIN 15.2.017 for Hazlewood Act records	
STU-32	15.4.002	Access Waiver Records	Waivers completed by students to allow or revoke access to confidential letters and confidential statements of recommendation.	AC				AC = Final disposition of record to which waiver applies.			
STU-52	15.4.003	Disclosures	Record of each request for access to and each disclosure of personally identifiable information from the educational records of a student under the Family Educational Rights and Privacy Act (FERPA): documentation of requests from and disclosures to any party other than the student, an official of the university for what the university has determined are legitimate educational interests, a party with or without written consent from the student, or a party seeking directory information.	AC				AC = As long as disclosed record is maintained.		See RSIN 1.1.077 for release of non-FERPA records.	34 CFR 99.32(a)(2).
STU-35	15.4.004	Protest of Record Statements	Statements by students commenting on contested information in a student record stating why he or she disagrees with a university's decision not to amend a record, or both.	AC				AC = Final disposition of record containing the contested information.			34 CFR 99.21(c)(1).
STU-53	15.4.005	Record Amendment Requests	Requests from students to amend student records, notices by an institution of denial or consent to amendments, requests for hearings on denied requests, hearing notices, and written decisions by hearing examiners.		2						



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STU-33	15.4.006	Student Nondisclosure Requests	Student request to opt out of directory information disclosure.	AC				AC = Until termination of nondisclosure request.			34 CFR 99.37(b).
STU-34	15.4.007	Written Consents	Written consents and waivers for information disclosure from the eligible student or student's parents.	AC				AC = Until termination of waiver.			
STU-55	15.5.001	Academic Standing Reports	Reports on student academic standing, including academic deficiency and the status changes of academically deficient students. May include but not limited to: reports containing student names, grade point averages (GPAs), grade point deficiencies, numbers of previous suspensions and probations; student petitions for re-evaluation; report of student progress toward academic readmission/removal of probation status at other institutions; academic honors and awards; and related documentation.		3						
STU-56	15.5.002	Admissions/Enrollment Reports	Summary and statistical information relating to student admission programs which may be used for control, planning or review. May include but not limited to: Texas Higher Education Coordination Board (THECB) report; reports sent to administration; or beginning of semester enrollment reports sent to office of institutional research	PM						For raw data or working files used to create these reports, see RSIN 1.1.065.	



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STU-71	15.5.003	Class Lists	Official record of students enrolled in courses taught, used to cross-check students who have enrolled against those who have registered as well as in the generation of statistical reports.	AC				AC = When the list of students who have enrolled has been cross-checked with the list of students who have registered.		CAUTION: Class lists often have long-term value in the generation of statistical and other reports. They should be reviewed before disposal, as some of these records may merit long-term or permanent retention.	
STU-39	15.5.005	Recruitment Records	Recruitment of students based upon disadvantaged status, academic performance, and other criteria. May include but not limited to: interview notes; conversation notes; personal information forms and resumes; test scores; photographs; and academic transcripts.	AC	1			AC = End of application term.		CAUTION: Does not include records of recruitment of athletes into the institution's intercollegiate athletics program.  See RSIN 16.5.010 for external recruiting records.	
STU-57	15.5.007	Student Conduct/Disciplinary Action Records	Academic dishonesty and conduct violations among students. May include but not limited to: incidents reports; final reports; evidence; notification of allegation; disciplinary reports; informal discussion notes; formal hearing notes; final summary statements; decision statements; and appeals documentation.	AC	3			AC = Graduation or date of last attendance.		CAUTION: For Title IX complaints, see RSIN 15.5.010.	



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STU-62	15.5.008	Student Grievance Records	Grievances brought forward by students against the institutions which do not result in litigation. Grievances may pertain to academic issues; housing; affirmative action and equal opportunity; student conduct; and other issues. May include but not limited to: notices of grievance; informal discussion notes; grievance responses; formal hearing notes (including audio tapes); final summary statements; settlement agreements; and appeals documentation.	AC	7			AC=Graduation or date of last attendance.		CAUTION: If a grievance brought forward by students against the institution becomes part of litigation, it should be retained as a litigation record per RSIN 1.1.048. If the grievance goes to the university ombudsman, the record should be retained as an ombudsman record per RSIN 3.1.039.  CAUTION: For Title IX complaints, see RSIN 15.5.010.	
STU-63	15.5.010	Title IX Complaints	Title IX complaints, investigations, and determination of responsibility, including informal resolution or appeal.	AC	7			AC=Final Resolution of issue and appeals.			34 CFR 106.45(b)(10).
SEC(E)-01	16.3.004	Annual Fire Safety Report	Annual fire safety report containing summary fire statistics, fire drill data, fire safety education procedures, and data regarding the nature, date, time, and general location of fires occurring in on-campus student housing facilities.		3				O		34 CFR 668.49.
SEC(E)-02	16.3.005	Campus Fire Log and Statistics	Fire log and statistics on the number of fires, the number of persons who received fire-related injuries, the number of deaths related to fire, and the property damage caused by fire for each oncampus student housing facility.		7						34 CFR 668.49(c)(1).



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PIF-03	16.3.007	Campus Notifications	Emergency notifications distributed to the campus community via email, text message, or other method regarding emergencies, evacuations, "timely warnings" related to public safety, and weather related instructions.		3				O		
SEC(E)-03	16.3.010	Clery Act Reporting Annual Security Report	Annual security report summarizing statistics on the nature, date, time, general location, and disposition of the complaint (if known) of crimes investigated by campus police, created pursuant to the Clery Act.		7				O		20 USC 1092(f), 34 CFR 668.46.
SEC(E)-04	16.3.011	Clery Act Reporting Crime Log and Statistics	Crime log and statistics on criminal homicide; sex offenses; robbery; aggravated assault; burglary; motor vehicle theft; arson; and arrests for liquor law violations, drug law violations and illegal weapons possession. Includes crimes occurring on campus, in or on non-campus buildings or property, and on public property, pursuant to the Clery Act.		7						20 USC 1092(f), 34 CFR 668.46.
SEC(E)-05	16.3.013	Clery Act Reporting-- Emergency Response and Evacuation Procedures	Policies developed to provide warning to students and employees of crimes representing a threat to safety, as pursuant to the Clery Act.		7					See RSIN 5.4.013 for Continuity of Operations Plans not part of Clery Act reporting.	20 USC 1092(f), 34 CFR 668.46(g).
SEC(E)-06	16.3.016	Daily Bulletins	Daily routine informational communications for public safety officers and personnel on duty which may include daily blotter, weather advisories, hazardous conditions, and reminders about "be on the lookout for" (BOLO) notifications.		1						



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SEC(H)-07	16.3.020	Emergency Protective Orders	Emergency protective orders issued by magistrates.	AC				AC=Period that the order is effective.			Family Code, 85.025, Code of Criminal Procedure 17.292(j).
SEC(H)-08	16.3.023	Field Interrogation Reports	Reports on persons stopped and interrogated in the field because of suspicious behavior.	AV						AV=Administratively valuable.	
SEC(E)-09	16.3.027	Campus Security and Incident Reports	Reports concerning suspicious incidents, complaints, and dating and domestic violence that, after investigation, did not appear to have involved the commission of a crime or do not become a part of arrest or offense investigation records.		3					CAUTION: See RSIN 16.3.011 for reporting of all incidents required by the Clery Act.	
SEC(H)-10	16.3.039	Parking Citation Records	Citations issued to regular on-campus parking, including petitions to appeal citations.	AC		6		AC = Payment of ticket or resolution of appeal, whichever applicable		See RSIN 4.1.009 for payment of fines	
SEC(H)-11	16.3.048	Special Watch Records	Informational forms or lists provided to officers for campus areas, buildings, or residences needing special watch, including requests from the public for such watches.	AV						AV = Administratively valuable	
SEC(H)-12	16.3.050	Wanted Persons Files	Records received on persons wanted by other law enforcement agencies	AV						AV = Administratively valuable	
SEC(H)-13	16.3.052	Weapons Records - Disposition	Records documenting the disposition of police weapons, including but not limited to buyback programs, trade-ins, and upgrades with vendors.		3						
SEC(H)-14	16.3.053	Weapons Records - Inspection and Repair	Records of inspection and repair of weapons.	LA						LA = Life of asset	
SEC(E)-15	16.3.054	Weapons Records - Inventory	Inventories of weapons.	US	3					US = Until superseded.	
SEC(E)-16	16.3.055	Weapons Records - Issuance	Logs for issuing weapons to officers	AC	3			AC = Return of Weapon.			



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STU-73	16.5.001	Disability Accommodation Requests	Accommodation requests, including ADA (Americans with Disabilities Act) and Section 504 of the Rehabilitation Act requests, for students or university visitors participating in the Services to Students with Disabilities (SSD) or similar program	AC	2			AC = Requests denied or cessation of services, as applicable.		See RSIN 3.1.042 for employee accommodation requests.	
STU-64	16.5.002	Career Counseling and Placement Records	Records used to assist students in planning career goals and connecting with prospective employers. May include but not limited to: career goals; academic credentials; personal data; work experience; honors; distinctions; and consent forms for release of information.	AC	5			AC = Graduation or date of last attendance.			
STU-65	16.5.010	External Recruiter Records	This series provides a record of recruiter visits to the campus to participate in job fairs or conduct job interviews. May include but not limited to: scheduling calendars; recruiter schedules; recruiter information forms; lists of interviewees; and feedback forms from recruiters.		2					See RSIN 1.1.019 for marketing materials.  See RSIN 15.5.005 for university student recruitment.	





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IEG-06	17.1.001	Academic Program Administrative Records	Records documenting the administration of academic programs, special academic programs, or non-institution student programs of a department or college. May include but not limited to: registration reports; add-drop analyses and reports; course enrollment summaries by class; graduation summaries; majors by class level; international activities; cooperative ventures; summer term classes and enrollment reports; placement information; and working papers.		5				O		
IEG-05	17.1.002	Class Scheduling Records-- Published Schedule of Classes	Final published schedule of classes.	PM					O		
STU-66	17.1.003	Class Scheduling Records-- Working Files	Formulation of class schedules by academic departments for inclusion in the published schedule of classes. May include but not limited to: requests from departments for class offerings; deviation from schedule forms; copies of course schedule maintenance forms; requests for class changes; and working papers.		1						
STU-68	17.1.004	Commencement Records	Commencement program planning and implementation at the institution. May include but not limited to: commencement attendance forms; and planning records created by commencement committees or other planning groups.	AC	4			AC = After commencement events.	O		



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IEG-09	17.1.006	Continuing Education Course Records	For-credit and not-for-credit course offerings and individual course contents as offered by Continuing Education (i.e., extension classes).	AC	2			AC=End of semester in which course is taught.		CAUTION: Some of these records may affect accreditation and should be kept long enough to meet accreditation cycle requirement.  See RSIN 16.1.007 for medical continuing education records.	
DEPT-01	17.1.007	Cooperative Program Records	Records documenting the institution's participation in cooperative and shared educational or research programs. Such programs may share research facilities and resources or instructional programs such as programs permitting student matriculation at member institutions. May include but not limited to: information on requirements and application procedures; committee minutes; meeting agendas; and memos of interpretation and understanding.	AC	7			AC=Termination of program or agreement.	O		
DEPT-02	17.1.009	Course Records	Records of departmental course offerings and individual course contents. May include but not limited to: syllabi; course descriptions; course outlines; course summaries; course requests and proposals; curriculum approval lists; lists of classes by term; bibliographies; reading lists; course announcements; and handout materials.	AC	2			AC=End of semester in which course is taught.		See RSIN 17.1.018 and 17.1.019 for course evaluations.	Texas Education Code, 51.974.



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VPAA-05	17.1.012	Degree and Special Academic Program Proposal, Development and Review Records	Records documenting planning and discussions relating to the implementation of new undergraduate, advanced degree, and special academic programs and any major reorganization or changes to established programs. May include but not limited to: final reports; curriculum committee meeting minutes; curriculum proposals; reviews of individual degree programs by campus and off-campus sources; letters of support; review agendas; and related documentation.	AC				AC=Termination of degree program.	O		
VPAA-06	17.1.018	Student Faculty/Course Evaluation Records--Non Tenure Track Faculty	Student evaluations of non-tenure track teaching personnel, which provide students' opinions on faculty members' familiarity with current literature of the discipline, preparation, assignments, examinations, lecture styles, willingness to engage in dialogue, and availability. May include but not limited to: bubble forms (input documents); course reaction inventory printouts; statistical tabulations; and summary reports.	AC	3			AC=After course is completed.		See RSIN 3.1.019 for employee performance appraisals.	



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VPAA-07	17.1.019	Student Faculty/Course Evaluation Records-- Tenure Track Faculty	Student evaluations of tenure-track teaching personnel used to help determine faculty tenure, promotion, merit increases, and/or to review instructional courses and programs. These records provide students' opinions on faculty members' familiarity with current literature of the discipline, preparation, assignments, examinations, lecture styles, willingness to engage in dialogue, and availability. May include but not limited to: bubble forms (input documents); course reaction inventory printouts; statistical tabulations; and summary reports.	AC	7					CAUTION: Retention period should be longer if a university's tenure review cycle is longer than 7 years. See RSIN 3.1.019 for employee performance appraisals.	
DEPT-04	17.2.001	Professional Accreditation Records--Working Files	Accreditation working files for the institution, colleges, units, and related programs. May include but not limited to: materials compiled for inclusion in a report packet sent to professional accreditation boards; materials prepared for onsite accreditation inspections; and evaluation reports received preliminarily to final accreditation approvals, renewals, or revocations.	AC				AC=End of 2 accreditation cycles.			



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DEPT-05	17.2.002	Professional Accreditation Reports	Final accreditation report issued by a professional accreditation board for the institution, colleges, units, and related programs. May include but not limited to: final selfevaluation submitted to accreditation board; final accreditation report issued by accreditation board, and any supporting documentation needed to provide context for accreditation report.	PM					O		
STU-69	18.1.003	Student Organization Administrative Records	Records documenting the history, development, and policies of campus student organizations. May include but not limited to: constitutions and bylaws; publications (websites, newsletters, fliers, brochures, posters, and other publications); annual review forms; annual reports; meeting minutes and supporting documentation; committee, subcommittee, and task-force records; Student Senate bill and resolution files; budgets; handbooks; officer and member rosters; scrapbooks; photographs; press releases; clippings; social media accounts; and related documentation and correspondence that documents programs, activities, and events.	AV					O		
F/S/ORGs-01	18.3.001	Faculty and Staff Election Records	Records of elections held by various faculty and staff organizations. May include but not limited to: ballots; tabulations; and related documentation.	AC				AC = Results are verified.			