



April 26, 2024

Stephanie Towery, Head of Scholarly Resources
601 University Dr.
Alkek 222
San Marcos, TX 78666

Dear Stephanie Towery,

The 6th recertification of your agency's records retention schedule is approved for use as of **4/25/2024**, 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 Please ensure that all old copies of the schedule are superseded with this certified copy.

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 **April 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:

Katherine Hoffman
512-463-2631
khoffman@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 blue ink signature of Craig Kelso.

Craig Kelso
Director and State Records Administrator

cc: Agency head

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

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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 754

Agency Name Texas State University

(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) Kristine L. Toma, CA

Date 12/12/2023

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 Mera

Date

4/25/24

Cert/Recert No.

6

Amendment No.

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 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)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
ADM110	1.1.002	Audits (Internal & External)	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC = 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 RSK190 for Audit Plan records and RSK195 for Audit Peer Review - Working Papers [5.4.018 and 5.4.019].	
ADM120		Notary Public Records			10					Local Schedule DC 2275-01.	
ADM210	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).
ADM220	1.1.021	Public Information Requests - Excepted (Not Filled)	Includes all correspondence and documentation relating to requests for records that are excepted under the Public Information Act (Chapter 552, Government Code), including records provided to the legislature under section 552.008.	AC	2			AC = Date of notification that records are excepted.			
ADM230	1.1.020	Public Information Requests - Not Excepted (Fulfilled)	Includes all correspondence and documentation relating to requests for records that are furnished to the public under the Public Information Act (Chapter 552, Government Code). Also includes withdrawn requests.	AC	1			AC = Date request fulfilled or withdrawn.			



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2 of 216

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ADM235	1.1.02	Public Information Requests - both exempt and not exempt	Includes all correspondence and documentation relating to requests for records that are requested under the public under Public Information Act (Chapter 552, Government Code), where records requested are a mix of non-excepted (fulfilled) and those that are excepted (non-fulfilled) because they are protected from required disclosure by the Public Information Act or other statutes.	AC	2			AC = Date request is closed, with non-excepted records provided and notification that some records are excepted.		New series requested in 2023 by the TSUS Office of General Counsel, as most of their requests include both types.	
ADM240	1.1.072	Public Information Requests - Reports	Reports made to the Office of Attorney General (OAG) on an agency's Public Information Act activities, per Government Code, 552.010.		2						
ADM310	1.1.057	Correspondence - Ephemeral	Communications received or sent which do not contain significant information about an institution's programs (Correspondence, Administrative) or routine agency operations (Correspondence, General). Ephemeral correspondence is useful for a very short period of time and is not related to the official ongoing duties of the department.	AC				AC = Purpose of record has been fulfilled.			



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3 of 216

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ADM320	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.		2					<p>CAUTION: This records series and item number for general correspondence should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule.</p> <p>CAUTION: This records series and Correspondence - Administrative [1.1.007] 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 UAD120 Legislative Appropriations Request [1.1.004]; a letter concerning an audit for that prescribed by ADM110 Audits [1.1.002], etc.</p> <p>See also ADM415 Directives - Executive Orders [1.1.011].</p>	



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ADM330	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.		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 University Archives when these records have met their retention periods.</p> <p>CAUTION: This records series and Correspondence - General [1.1.008] should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by UAD120 Legislative Appropriations Request [1.1.004]; a letter concerning an audit for that prescribed by ADM110 Audits [1.1.002], etc.</p> <p>See also ADM415 Directives - Executive Orders [1.1.011].</p>	
ADM335	1.1.007	Correspondence - Consequential (Board of Regents)	TSUS Office/State Leadership: policy issues		5				O		
ADM340	1.1.007	Correspondence - Executive (President, Provost)			4				I		



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5 of 216

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ADM345	11.1.013	Subject Files - Executive	Subject files documenting the executive actions of a state university. The series includes information in the form of correspondence and memoranda, policy statements, organization and program development records, reports concerning accreditation requirements, budget material, faculty and student relations, personnel matters, tenure and salary issues, physical plant development, grant awards, research programs, foundation endowments, fiscal accountability, academic requirements, student athletic issues, and other related topics. These records reflect administration of policies, coordination of institution functions, and overall management of major divisions and departments of a state university.		4						
ADM405	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 is later.		CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period for LEG610 Litigation Records [1.1.048].	



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6 of 216

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ADM410	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 the university president, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met the retention period.</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>	
ADM415	1.1.011	Directives - 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						
ADM417	1.1.010	Directives - General	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						



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7 of 216

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ADM420	5.1.004	Directory Information - 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							
ADM425	11.1.006	Event Administration Records - Routine	Records created in the planning or administration of routine events, such as: reports; promotional materials; press releases and news clippings; photographs; presentation materials; schedules of speakers and activities; registration and attendance lists; participant evaluations; room reservation lists; and catering services orders.	AC	1			AC = Completion of the event.		CAUTION: Use this record series in conjunction with Administrative Records: Financial (FIN) for financial records, LEG400 for contracts [5.1.001a/b], and Administrative Records: Support Services (SVC) for purchasing records. See UAD530 and UAD550 and for records related to lecture series and university-level special events [11.1.007].	
ADM430	1.2.003	Forms History and Maintenance	Master versions 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.			



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8 of 216

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ADM435	1.1.069	Logs - Attendance and Use Logs	Sign-in sheets and/or logs that document attendance at an event or use of facilities. May include logs of individuals who use facilities or participate in events or services offered by the University or its colleges, departments, and/or programs.		1					CAUTION: If reports are used to document performance measures, see ADM610 - Performance Measures [1.1.064].	
ADM437	5.2.026	Logs - Meeting Room Reservations	Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.		2						
ADM440	1.1.023	Organization 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 to the Texas State Library and Archives Commission). Organizational charts showing division/department level detail are not considered archival.	



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9 of 216

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ADM445	1.1.008	Routine Requests: Information or Services	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.		2					See item STU310 for transcript requests.	
ADM450	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.		NOTE: Security access for residence halls / campus housing must be retained for Clery Act purposes; see ADM451.	
ADM451	16.3.010	Security Access Records - Residence Halls (Clery Act)	Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to residence halls.	AC	7			AC = Until superseded, date of expiration, or date of termination, whichever sooner.		Required by Clery Act.	
ADM455	5.2.019	Service Orders / Work Orders	Requests or work orders for repairs or maintenance to facilities, vehicles, or equipment completed by internal agency personnel or external service providers.		1						



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10 of 216

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ADM460	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: University-level speeches, papers, and addresses should be sent to the University Archives for preservation. TSUS-level speeches, papers, and addresses should be reviewed by the State Archives.	
ADM470	1.1.038	Surveys and Questionnaires	Surveys soliciting feedback from customers, clients, or stakeholders of an agency (students, alumni, employees, patrons, clients, etc.), 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.		CAUTION: For results used for IE data or outcomes, use ADM610 Performance Measures [1.1.064]. See ADM810 Reports and Studies (Non-Fiscal) [1.1.067] for summary reports compiled from customer surveys.	
ADM482	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 PER625 for internal personnel training materials [3.3.030]. CAUTION: Does not include hazardous material training records. See RSK330 [5.4.007].	



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11 of 216

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ADM490	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.			
ADM499	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 page xii for examples.	AC				AC = After purpose has been fulfilled.		Retention is usually less than 1 year; often less than 1 month. 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 (ADM730) or in records disposition logs (ADM740), but agencies should establish procedures governing disposal of these records as part of its records management plan (ADM710).	



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12 of 216

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ADM500	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.			
ADM510	1.1.058	Meeting Agenda and Minutes - TSUS	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 (see Texas Government Code, Section 324.008(d)) 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 ADM511, ADM512, and ADM513 must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.</p>	



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13 of 216

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ADM511	1.1.059	Meetings, Certified Agendas or Tape 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 is later.		CAUTION: This records series and ADM511, ADM512, and ADM513 must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.	Government Code, 551.104(a).
ADM512	1.1.060	Meetings, Audio or Videotapes of Open	Audiovisual recordings of open meetings of state boards, commissions, committees, and councils.	AC			90	AC = Official approval of written minutes of the meeting by the governing body of an agency.		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 ADM510/UAD110 [1.1.058]. See also caution comment at ADM510/UAD110.	



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14 of 216

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ADM513	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 formal minutes by the governing body.		CAUTION: This records series and ADM511 [1.1.059], ADM512 [1.1.060], ADM513 [1.1.061], and ADM514 [1.1.062] must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

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15 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
ADM514	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 meetings for briefing purposes, some of which may not be submitted at an actual meeting.		2				I	CAUTION: This records series and ADM511 [1.1.059], ADM512 [1.1.060], ADM513 [1.1.061], and ADM514 [1.1.062] must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.	
ADM520	1.1.063	Meeting Records - University Leadership	Minutes, notes, agendas and supporting documentation taken at internal meetings that function primarily to: establish, interpret or evaluate administrative policies; perform strategic planning; or create new university initiatives. May also includes any meetings related to the University System or with meetings with the leadership of other universities.		4				I		



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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16 of 216

1. Agency Code:				2. Agency Name:							
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
ADM530	1.1.063	Meeting Records - Academic Leadership	This series documents the meetings of the faculty and/or staff of a college, department, or office that sets policy and procedures for the unit. These meetings may concern routine matters of procedure and topics such as program development, planning, administrative and personnel management, and assessments of future needs.		4				I		
ADM540	1.1.063	Meeting Records - Faculty Senate	This series documents the proceedings and actions of the faculty senate. Discussions and actions of the faculty senate deal with such areas as curriculum, program development, promotion and tenure, and legislative relations.		4				I		
ADM550	1.1.063	Meeting Records - Staff			1						
ADM560	1.1.063	Meeting Records - Construction Projects			1						



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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17 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
ADM570	11.1.015	Meeting Records - Committees, Councils, Task Forces			3				O	<p>CAUTION: Federal or state regulations may require longer retention periods (for example, radiation committee meeting records must be retained permanently).</p> <p>See series listed under section RSK for meetings related to environmental issues.</p> <p>For committees specific to Clery (Clery Compliance Committee and Data Integrity Liaisons), Clery Act Compliance Officer (CACO) will maintain all records.</p> <p>See ADM550 Meeting Records - Staff [1.1.063] for Staff Meeting minutes and notes.</p> <p>See Section 17.3 for review board records related to research</p>	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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18 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
ADM575	11.1.015	External Committee Records	This series documents the relationship and participation of institution units in external professional and educational associations and other organizations. The unit's role may be one of membership on the advisory or administrative board, participation in a task force or subcommittee, or one of membership in consortia. This series may include but is not limited to: promotional information; rules and regulations; reports; proposals and planning records; workshop and conference records; surveys and questionnaires; minutes; and related documentation and correspondence.		3				O	CAUTION: Refer to ADM570 Meeting Records - Committees, Councils, Task Forces [11.1.015] for meeting records of internal university committees.	
ADM610	1.1.064	Performance Measures - Documentation (Includes IE Data)	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 ADM840 [1.1.068] 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	
ADM630	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 result of planning process.	O	ARCHIVES NOTE: Data processing planning records are not archival.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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19 of 216

1. Agency Code:		2. Agency Name:									
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					Years	Months	Days				
ADM640	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. For strategic plans for individual departments/programs, SEE item ADM630 Plans and Planning Records [1.1.024]. Strategic Plans that include Clery will be maintained by the Associate VP of Institutional Compliance.	
ADM710	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						



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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20 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
ADM720	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 and Archives Commission. Clery Act Compliance Officer (CACO) will review annually and maintain copies.	
ADM730	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 ADM740 Records Disposition Logs [1.2.010], then longer retention period applies.	
ADM740	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. Clery Act Compliance Officer (CACO) is included in the review process and will keep relevant copies.	
ADM760	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						Clery Act Compliance Officer (CACO) is included in the review process and will keep relevant copies.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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21 of 216

1. Agency Code:			2. Agency Name:								
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
ADM770	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							
ADM772	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.	
ADM780	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.	FE	1						
ADM785	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 service.			



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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22 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
ADM810	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 ADM820 Reports and Studies (Non-Fiscal) - Raw Data [1.1.065] for raw data used to produce reports. 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.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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23 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
ADM820	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 ADM810 Reports and Studies (Non-Fiscal) [1.1.067] 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 especially ADM610 Performance Measures Documentation [1.1.064].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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24 of 216

1. Agency Code:		2. Agency Name:									
3.	4.	5.	6.	7. Ret. Code	8. Retention Period			9.	10. Archival	11.	12.
Agency Item No.	Record Series Item No.	Record Series Title	Description		Years	Months	Days	AC Definition		Remarks	Legal Citations
ADM830	1.1.067	Reports and Studies (Non-Fiscal) - Statistical	Statistical reports that are used to write 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 statistical reports distributed either internally or to other entities.		3				O	See ADM820 Reports and Studies (Non-Fiscal) - Raw Data [1.1.065] for raw data used to produce reports. 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. Statistical data may have long-term value to the creating department and may have archival value.	
ADM840	1.1.068	Reports - Agency Performance Measures and Fund Management	Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC	6			AC = September 1 of odd-numbered calendar years.		See ADM610 [1.1.064] for documentation used to produce reports on agency performance measures.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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25 of 216

1. Agency Code:			2. Agency Name:								
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
ADM850	1.1.069	Reports - Routine 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.	
ADV100	13.2.001	Donor Files	Includes individual donor and prospective donor files.	AC				AC = Prospect ceases to be viable.	I	CAUTION: Includes donor or prospective donor information only. For records of gifts, refer to ADV115 Gift Records - Institutional [13.2.005] and ADV120 Gift Records - Department or Program [13.2]. CAUTION: The name or other identifying information about a donor may be withheld from public disclosure under the Public Information Act. Government Code Sec. 552.1235.	
ADV110	13.2.003	Gift and Fundraising Records	Records of gifts given to the agency. May include but not limited to: gift and donor lists; gift histories; gift placement arrangements; departmental endowments and trusts raised by support and “friends” groups; fundraising efforts; pledges; and background on previous donations.		7				O	See ADV115 Gift Records - Institutional for records documenting potential or realized major funding to the institution such as endowments and trusts [13.2.005].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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26 of 216

1. Agency Code:		2. Agency Name:									
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					Years	Months	Days				
ADV115	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		
ADV120	13.2.003	Gift Records - Department or Program	This series documents potential or realized private, corporate, or public agency funding to a department or program, including endowments, trusts, and funds raised by support/"friends" groups.		7				O	CAUTION: For records of major gifts, refer to ADV115. For donor files, refer to ADV100 Gift and Fundraising Records [13.2.003]. See ADV115 Gift Records - Institutional [13.2.005] for records documenting potential or realized major funding to the institution such as endowments and trusts. For ongoing contracts and agreements, refer to LEG400 and LEG410 [5.1.001a/b].	
ADV150	13.2	Gift Records - Class and Alumni			5				I		



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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					Years	Months	Days				
ADV200	11.1.002	Alumni Records	Alumni affairs 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					I	See ADM420 Directory Information for alumni mailing list [5.1.004].	
ADV230	11.1.001	Alumni Association Services Program Records	This series documents the alumni association board of directors as well as programs administered by the office such as those relating to marketing products, credit cards, insurance, and football tickets.		5				O		
ADV300	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		



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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28 of 216

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					Years	Months	Days				
ADV330	1.3.001	Publications	One copy of each state publication as defined on page xi of this schedule, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda for the Board of Regents (ADM510) [1.1.058] also meets the definition, but it must be retained permanently; UAD120 Legislative Appropriations Requests [1.1.004], ADM640 Strategic Plans [1.1.055], UAD320 Annual or Biennial Agency Reports [1.1.066], ADM840 Agency Performance Measures [1.1.068], and FIN530 Annual Financial Report - Agency [4.5.003], 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, Texas State Library and Archives Commission, 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).	
ADV340	1.3.001	Publications - Brochures		AC	2			AC = Until superseded or obsolete.			



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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29 of 216

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					Years	Months	Days				
ADV350	1.3.002	Publications - 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 ADV330 for final State Publications created from development files [1.3.001]. 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 re-use, may be archival. Clery Act Compliance Officer (CACO) will maintain all records and documents pertaining to the creation of the ASFSR.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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30 of 216

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Agency Item No.	Record Series Item No.	Record Series Title	Description		Years	Months	Days	AC Definition		Remarks	Legal Citations
ADV360	11.1.014	Subject Files - Media and Communications ("Morgue" files)	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 ADV300 for press releases [1.1.019]. See ADM220/ADM230/ADM235 for Public Information Requests [1.1.019/1.1.020]. See ADM499 Transitory Information for classification of materials that are weeded out (as unusable, almost-duplicates, etc.)[1.1.057].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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31 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
ADV380	1.1	Photographs, Films, Videos, and Sound Recordings	Media that documents some aspect of the institution. Often created for public relations purposes or to document special events.	AV					O	<p>ARCHIVES NOTE: Archivists should apply archival selection criteria in the appraisal of these items. Selection criteria may include level of identification. Archivists may arrange with digital asset managers or similar personnel to identify historical photographs prior to transfer to the archives.</p> <p>Refer also to ADM499 Transitory Information for classification of those images that are weeded out (as unusable, almost-duplicates, etc.)[1.1.057].</p>	
CHD100	16.5.006	Licensing, Safety, and Compliance Records	Records documenting the licensing of the university child care facilities by the Texas Department of Family and Protective Services (DFPS).	AC		3		AC = After superseded, expiration, or obsolete.		CAUTION: Refer to the Personnel section (PER) of the RRS for personnel and training records, including employee attendance records.	26 TAC 746.801 and 746.803.
CHD110	16.5	Food/Nutrition Service Program Records	Records document the administration of child care food programs which provide meals to children through the Child and Adult Food Program (CACFP).		4						Complies with 7 CFR 210 and 225 (U.S. Department of Agriculture).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

32 of 216

1. Agency Code:		2. Agency Name:									
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CHD120	16.5	Health-Care Professional Recommendations/Orders	Includes healthcare professional recommendations or orders for providing specialized medical assistance to the child.	AC		3		AC = Health-care professional has indicated that the specialized medical assistance is no longer needed.			40 TAC \$746.603(a)(10) and (b)(2).
CHD130	16.5.007	Medication Administration	Medication logs, instructions, and other records related to the administration of medication to children in the child-care facility's care.	AC		3		AC = Administration of medication.		See CHD200 for health-care professional recommendations or orders for specialized medical assistance [16.5.004].	40 TAC 746.603(a)(9) and (b)(1).
CHD200	16.5.004	Individual Child (Client) Records	Childcare center records, including child enrollment agreement; admission information; health and medical records or test results; licensing incident/illness report form; attendance lists; healthcare professional recommendations or orders for providing specialized medical assistance to a child; and all records required to be kept on file by 26 TAC 746.801.	AC		3		AC =Child's last day in care.		See CHD130 for medication administration [16.5.007].	26 TAC 746.801 and 746.803.
CHD210	16.5	Clinical Logs	Clinical files for individual children enrolled in TxState child care programs. Includes client records for evaluation, therapy and diagnostic services such as Speech Therapy and Audiology.	AC	7			AC = Last contact with client (or retain until client reaches age 21, whichever is longer).			22 TAC 165.
CHD300	4.1	Child Care Subsidy Financial Records	Records supporting subsidies for expenses related to child care.	FE	3						



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

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33 of 216

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EDP100	2.2.018	Biennial Information Security Plan	Biennial information security plan for protecting the security of the agency's information.	US							1 TAC 202.23; 1 TAC 202.73.
EDP110	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: Does not include technical documentation of procedures necessary for reading or processing of electronic records. See item EDP270 for Hardware and Software Technical Documentation [2.1.009].	
EDP130	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						
EDP150	2.2.016	Software Management: 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						
EDP170	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							



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

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34 of 216

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EDP210	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.			
EDP220	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.	
EDP240	2.1.008	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.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

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R/O – Review by State/University Archivist
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35 of 216

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EDP260	2.1.007	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 software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.
EDP270	2.1.009	Hardware and Software Technical Documentation	Records adequate to specify all technical characteristics necessary for reading or processing electronic records; to document modifications 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 or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read.		CAUTION: 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.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

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R/O – Review by State/University Archivist
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36 of 216

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
EDP310	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.		Data logs submitted monthly by data liaisons are maintained by Clery Act Compliance Officer (CACO).	
EDP335	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 ADM730 Destruction Authorizations [1.2.001] or in ADM740 Records Disposition Logs [1.2.010], but agencies should establish procedures governing disposal of these records as part of its ADM710 records management plan [1.2.014].	
EDP350	2.2.013	Quality Assurance Records	Information verifying the quality of system, hardware, or 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 EQS110 Quality Control Reports [5.2.018].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
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37 of 216

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EDP360	2.2.001	System or Computer Monitoring Records / Logs	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 (ADM730) or in records disposition logs (ADM740), but agencies should establish procedures governing disposal of these records as part of its ADM710 records management plan [1.2.014].	
EQS110	5.2.018	Quality Control Reports	Documentation and reporting on adherence to procedures that ensure quality of a process, product, or service.		2					See EDP350 for quality control records related to IT procedures [2.2.013].	
EQS210	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.	
EQS230	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 LEG400.a/b [5.1.001a/b]. For vehicle maintenance records,	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
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Archival Codes (Field 10)

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38 of 216

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EQS235	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						
EQS250	5.2.010	Equipment Manuals		LA							
EQS260	5.2.010	Equipment Manuals - A/C Compressor		LA	3						
EQS270	5.2.011	Equipment Warranties		AC	1			AC = Expiration of Warranty.			
EQS280	5.2.012	Estimate Files (Supply and Repair Cost Estimates)			1						
EQS350	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 inventory listing.		See FCL330 for annual Inventory and Property Control Records [5.2.006].	
FCL100	5.2.002	Building Construction Project Files	Project records related to planning, design, construction, 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 FCL120, FCL130 and FCL135 [5.2.003a/b and 5.2.028] for further retention of completed building documentation. See SVC220.a/b [5.3.007a/b] for additional bid documentation retention periods, including SVC222 [5.3.007c] for invalid bids that do not meet agency submission requirements. ARCHIVES NOTE: Archival review designation is for state-owned buildings only.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist

R/O – Review by State/University Archivist

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39 of 216

1. Agency Code:		2. Agency Name:									
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FCL110	5.2.002	Building Renovation Project Files	Project records related to conversion or modernization of state facilities, structures	AC	10			AC = Completion of Project.	O	See FCL120, FCL130 and FCL135 [5.2.003a/b and 5.2.028] for further retention of completed building documentation. See SVC220.a/b [5.3.007a/b] for additional bid documentation retention periods, including SVC222 [5.3.007c] for invalid bids that do not meet agency submission requirements. ARCHIVES NOTE: Archival review designation is for state-owned buildings only.	
FCL120	5.2.028	Building Construction Contract and Inspection Records	Building construction contracts, surety bonds, and inspection records.	LA	10				O	See also FCL100 [5.2.002] and FCL130/FCL135 [5.2.003a/b].	
FCL130	5.2.003a	Building Plans and Specifications (State Owned Property)	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 also items FCL110 [5.2.002] and FCL120 [5.2.028].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
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40 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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FCL135	5.2.003b	Building Plans and Specifications (Leased Property)	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 also items FCL110 [5.2.002] and FCL120 [5.2.028].	
FCL140	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.			
FCL210	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						
FCL220	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							
FCL230	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						



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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FE – Fiscal year end
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US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

41 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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FCL330	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 EQS230 for the maintenance logs of individual pieces of equipment [5.2.008].	
FCL410	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.	
FCL420		Line Locate Records - Requested		AC	2			AC = Completion of project requiring the locate request		CAUTION: If damage to lines or cables becomes subject to litigation, the locate records must be retained in accordance with LEG610 Litigation Files [1.1.048].	
FCL425		Line Locate Records - Provided			2					CAUTION: If damage to lines or cables becomes subject to litigation, the locate records must be retained in accordance with LEG610 Litigation Files [1.1.048].	
VCL110	5.6.007	Vehicle Titles & Registrations	Vehicle titles, registration information, and owner manuals for state vehicles.	LA							
VCL120	5.1.013a	Vehicle Insurance Policies - Vehicles - 9/1/2015 and After	Insurance policies. executed, renewed, or amended on or after August 31, 2015.	AC	7			AC = Expiration or termination of policy according to its terms.		NOTE: Refer to SB20 (84th Leg.) for retention period context.	Government Code, 441.1855.
VCL120.b	5.1.013b	Vehicle Insurance Policies - Vehicles - 8/31/2015 and Prior	Insurance policies executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of policy according to its terms.		NOTE: Refer to SB20 (84th Leg.) for retention period context.	Government Code, 441.1855.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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FE – Fiscal year end
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US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

42 of 216

1. Agency Code:			2. Agency Name:								
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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VCL130	5.6.003	Inspection, Repair, and Maintenance Records - Vehicles	Records and documentation related to ownership and activity, including inspections, repairs, and maintenance for state vehicles.	LA	1					See EQS230 Inspection, Repair, and Maintenance Records - Equipment for non-vehicle equipment maintenance records [5.2.008].	
VCL150	5.6.005	Vehicle Use Reports	Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	FE	3						
VCL210	5.6.004	License and Driving Record Checks		AC				AC = Until superseded or until termination of employment.			
VCL230	5.6.001a	Airplane Flight Logs - State-Owned	Logs and related documentation used to maintain information about state owned aircraft flight data.	LA	3						
VCL240	5.6.001b	Airplane Flight Logs - Leased	Logs and related documentation used to maintain information about leased aircraft flight data.	FE	3						
VCL245	5.6.002	Aircraft Passenger Lists	List of passengers on an aircraft.	FE	3						
VCL500	5.6.009	Parking Permits or Assignments	Records documenting issuance of parking permits and assignments.	US						See FIN100 Accounts Receivable Information for payment of permit fees [4.1.009].	
VCL502	5.6.009	Parking Permit Records - TSUS Office		US						See FIN100 Accounts Receivable Information for payment of permit fees [4.1.009].	
VCL510	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 FIN100 Accounts Receivable Information for payment of fines [4.1.009].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
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FE – Fiscal year end
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US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

43 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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FIN100	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						
FIN110	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						
FIN120	4.1	Billing Detail / Department Account Records		FE	3					CAUTION: Does not include long distance telephone billing detail. See items SVC330 Telephone Activity Records [5.5.002] and SVC350 for Disputed Call Documentation [5.5.007].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

44 of 216

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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FIN121	4.1.009	Student Charge Records		AC	10			AC = Student account settled and all debts are resolved.			
FIN123	15.3	Student Short-Term / Emergency Loans	Short-term promissory notes and payment option agreements, such as loans for books or other expenses.	AC	3			AC = Fiscal year in which student account settled and all debts are resolved.			
FIN125	4.1	General Property Deposits - Refunds, Forfeits, Assignments		FE	3						
FIN160	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 FIN520 Internal Fiscal Management Reports [4.5.002] for reports associated with investments.	
FIN511	4.5	Annual Financial Report - Working Files		FE	15					Retention period requested by finance department.	
FIN520	4.5.002	Internal and External Fiscal Management Reports	Internal and external periodic fiscal management reports and associated working files such as 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 RSP102.a/b Grant Research Records - Working Files [4.7.008].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
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45 of 216

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					Years	Months	Days				
FIN530	4.5.003	Annual Financial Report - Agency	Annual Financial Reports (AFR) required by the General Appropriations Act (100 Day Report).	AC	6			AC = September 1 of odd-numbered 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 as described in UAD320 [1.1.066], then, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.</p>	
FIN551	4.5	Federal Tax Returns	Federal tax returns sent to the IRS in compliance with federal reporting requirements.	FE	8					IRS pub 552 and 583.	
FIN552	4.5	Property Tax Exemption Claim Records		FE	8					IRS pub 552 and 583.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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46 of 216

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FIN560	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						
FIN570	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.			
FIN574	4.5.009	USAS Reports - Annual	Yearly report compiled from information entered into the Uniform Statewide Accounting System (USAS).	FE	3						
FIN600	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						
FIN621	4.6	Long Term Bond Coupons			25						
FIN622	4.6	Reconciliations: Bond Coupons Destruction Certificates			25						
FIN710	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						



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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47 of 216

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FIN730	4.7.003	Uncollectible Accounts	Records of accounts deemed uncollectible, including write-off authorizations and returned checks, warrants, and drafts.	AC	3			AC = Date account deemed uncollectable.			
FIN740	4.7.004	Capital Asset 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						
FIN750	4.7.005	Claim Files	Records documenting requests for payment of a sum of money according to the terms of a policy or contract.	AC	3			AC = Resolution of claim.			
FIN760	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).	
FIN770	4.9.001	Detail Chart of Accounts		FE	3						
FIN775	4.7.004	Fixed Asset Sequential Number Logs		LA							



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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48 of 216

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FIN810	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.			
FIN830	4.7.012	Signature Authorizations	Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	AC	4			AC = Until superseded, date of expiration, or termination of employee, whichever sooner.			
FIN840	13.1.001	Ticket Sales Management (other than athletics)	Logistics and management of ticket disbursement for university-sponsored performing arts and other non-athletic events where tickets are sold for admission. May include but not limited to: ticket stock orders; ticket type reports; total ticket sales summaries and reports; ticket printing and control records; season ticket sales lists; free ticket sign-up sheets; and reports of free ticket disbursement.	FE	3					See FIN100 Accounts Receivable Information for records of financial deposits or receipts [4.1.009]. See items ICA710 and ICA715 for records related to tickets for athletic events.	
FIN850	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.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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49 of 216

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FIN860	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).
FIN910	5.2.001	Appraisals - Building or Property	Assessments or evaluations of the value of state-owned buildings or property.	AV					O		
GRC100	12.1	Graduate Faculty Nomination Records	Records maintained by the Graduate College for nominating individuals to be appointed graduate faculty status. Individuals who are nominated for appointment as graduate faculty must meet criteria set forth in AA/PPS No. 04.01.30 (7.03)		4					Retention recommended by the Graduate College; records are subject to SACS review and/or audit.	
GRC200		Graduate Assistant Justifications	Records of the Graduate College that document exceptions to the graduate student employment requirements.		4					Retention recommended by the Graduate College; records are subject to SACS review and/or audit.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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50 of 216

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LEG100	4.7004	Real Property Records		LA	10				I	Records have historical value; long-term preservation storage should be addressed. Contact University Archives for long-term digital and physical storage arrangements. Clery Act Compliance Officer (CACO) will request from and keep VPSS quarterly updates of property acquired so the Clery geography can be updated as needed.	
LEG110	5.1.010	Licenses and Permits (non-Vehicles)	Licenses and permits obtained from external 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.	
LEG200	5.1	Trademarks Licensing Records		AC	4			AC = Expiration of license.		Per General Counsel.	
LEG250	1.1.079	Copyright Records	Copyright records which pertain to employees' original work (including works such as intellectual, artistic, computer software, and literary). 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 U.S.C. 302; URRS-301.

STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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LEG300	17.3.008	Intellectual Property Agreements	Includes license agreements, know-how agreements, and other contractual agreements resulting from the licensing of technology or the transfer of intellectual property.	AC	7			AC = Completion of all terms and extensions of the agreement.	O	CAUTION: Does not include patent records; see LEG310 Patent and Invention Records [17.3.011]. Some records have historical value and require preservation; contact the University Archives when the active retention period has expired. For ongoing contracts and releases, long-term preservation storage may need to be addressed.	NIH Guidelines, OMB Circular A: 110-.53, 2 CFR 200.334.
LEG310	17.3.011	Patent and Invention Records—Patents, Licensing, and Disclosure Records	This series documents the transfer of technology from this institution to outside agencies as the result of research projects and grants carried out at the institution. May include but not limited to: original patents; international licensing agreements; and invention disclosure forms that list the names of the inventors and to whom the inventions have been disclosed.	AC	6			AC = Expiration of the patent.			
LEG312	17.3.010	Patent and Invention Records—Denied or Not Pursued	Records relating to disclosures or applications for patents that are either not filed or otherwise pursued by the university, or which are denied by the US Patent and Trademark Office (USPTO).	AC	7			AC = Date of last office action or related correspondence in file.	O	NOTE: Patent applications remain confidential unless published by the US Patent and Trademark Office or an international patent office.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition

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52 of 216

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LEG314	17.3.009	Patent and Invention Records—Auxiliary Files	This series documents the transfer of technology from the institution to outside agencies as the result of research projects and grants carried out at the institution. May include but not limited to: patent applications; agreements giving permission for institutional researchers to use other patented inventions in their research; descriptions and titles of inventions; sources of funding to create the inventions; details of the provenance of the inventions and their documentation; suggested manufacturers; reports issued concerning the inventions; and signatures of inventors and technically qualified witnesses.		7				O		



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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53 of 216

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LEG400	5.1.001a	Contract Administration (including Service Contracts) 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 SVC220.a/b and SVC222 for bid documentation [5.3.007a/b/c]. See FCL120 for building construction contracts [5.2.028]. See LEG420 for contract logs [5.1.017].	Government Code, 441.1855.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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54 of 216

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					Years	Months	Days				
LEG400.b	5.1.001b	Contract Administration (including Service Contracts) 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 SVC220.a/b and SVC222 for bid documentation [5.3.007a/b/c]. See FCL120 for building construction contracts [5.2.028]. See LEG420 for contract logs [5.1.017]. NOTE: Refer to SB20 (84th Leg.) for retention period context.	Government Code, 441.1855.
LEG410	5.1	Contracts and Agreements Records - Internal	Contracts and agreements made within areas of the university, such as contracts for service and repair of departmental computers and peripherals.	AC	4			AC = Expiration of contract.			
LEG420	5.1.017	Contract Log	List of agency contracts, leases, and agreements, including general obligation, land lease, utilities, and construction contracts.	FE	3						
LEG450	5.1.001a	Memoranda of Understanding and Waivers - 9/1/2015 and After		AC	7			AC = Expiration of agreement.		Executed, renewed, or amended on or after September 1, 2015.	Government Code, 441.1855.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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55 of 216

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LEG450.b	5.1.001b	Memoranda of Understanding and Waivers - 8/31/2015 and Prior		AC	4			AC = Expiration of agreement.		b) Executed, renewed, or amended on or before August 31, 2015.	Government Code, 441.1855.
LEG451	16.3	Memoranda of Understanding and Waivers - First Responders (Clery Act)	Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration of agreement.		MOUs for or including First Responders are referenced in the ASFSR and must be kept for 7 years per the Clery Act.	
LEG500	1.1.078	Waivers: Hold Harmless, Liability, and Release Records	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 RSK150 Occupational Accident Reports [5.4.001] and RSK162 Accident Reports - Adults / RSK162 Accident Reports - Minors [5.4.014a/b].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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56 of 216

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LEG600	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 LEG510 Litigation Files [1.1.048], and ADM220/230/235 Public Information Requests [1.1.020 and 1.1.021]. ARCHIVES NOTE: Opinions and advice that set legal precedent or exhibit historical value will be evaluated by the University Archives for archival preservation.	
LEG610	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	Some records have historical value and require preservation; contact the University Archives when the active retention period has expired.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

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57 of 216

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LEG620	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 LEG610 Litigation Files [1.1.048].	
LEG630	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 ADM230/235 for records released under the Public Information Act [1.1.020]. See LEG620 for records produced for a subpoena [1.1.076]. See LEG610 for records produced for litigation [1.1.048]. 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.	
LEG700	1.1.027	Proposed Legislation	Drafts of proposed legislation and related correspondence.	AV							



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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US – Until Superseded

Archival Codes (Field 10)

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R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

58 of 216

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LEG710	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.			
LEG800	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.		Due to VAWA requirements these are tied to Clery.	34 CFR 106.45(b)(10).
LIB100	16.2.008	Library Catalog	Catalog of bibliographic records used as a guide to library holdings.	US						CAUTION: See LIB140 Library Collection Asset Records [4.7.004] for records documenting purchase of library materials. The disposal or supersession of library catalog records need not be documented through destruction authorizations (ADM730 [1.2.001v]), or in records disposition logs (ADM470 [1.2.010]).	
LIB110	1.1.069	Patron Attendance and Use Logs			1					CAUTION: If reports are used to document performance measures, see ADM610 [1.1.064].	
LIB120	1.2.013	Location Guides	Records that indicate the location of materials.	AC				AC = When control aid is updated, revised, or no longer needed.		CAUTION: These records must carry the same retention period and archival code of the records they support.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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US – Until Superseded

Archival Codes (Field 10)

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E – Exempt from archival review and transfer

59 of 216

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LIB130	1.1.064	Library Statistics and Performance Measures	Statistical information related to functions such as acquisition, cataloging, reference, and collection storage.	FE	3					See ADM840 [1.1.068] 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. Relates to SACS Outcomes Assessments and other performance measures.	
LIB140	4.7.004	Library Collection Asset Records	Records of payments made by the University for library books and library reference materials (i.e. journals, microforms, audio/visual media, computer-based information, manuscripts, maps, documents and similar items) that provide information essential to learning or that enhance the quality of academic, professional or research libraries.	LA	3			LA = For financial purposes, the life of asset for library collection materials is 15 years.		Life of Asset time period determined by the university's General Accounting Office, in conjunction with recommendations from the State Comptroller.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

60 of 216

1. Agency Code:		2. Agency Name:									
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					Years	Months	Days				
LIB210	2.2.016	Electronic Resource Management / License Management	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						
LIB300	16.2.009	Library Materials Control Records	Records of the acquisition and cataloging of library material.	AC				AC = Catalog updated.		See LIB100 for the library catalog [16.2.008]. See LIB140 Library Collection Asset Records for records documenting purchase of library materials [4.7.004]. The disposal or supersession of library catalog records need not be documented through destruction authorizations (ADM730 [1.2.001v]), or in records disposition logs (ADM470 [1.2.010]).	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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

FE – Fiscal year end
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PM – Permanent
US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

61 of 216

1. Agency Code:			2. Agency Name:								
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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LIB330	16.2.001	Circulation Records	Records documenting the borrowing of circulating library materials or equipment by qualified patrons (including courtesy and guest borrowers). May include but not limited to: the name and identification of the borrower; material due dates; and overdue item notations.	AC				AC = Transaction is completed.		See LIB335 for fines [4.1.009]. The disposal of circulation records need not be documented through destruction authorizations (ADM730 [1.2.001v]), or in records disposition logs (ADM470 [1.2.010]).	
LIB332	16.2.001	Courtesy Borrowers Records		AC				AC = Expiration of borrowing privileges and clearing of fines.		CAUTION: If borrower application serves as an agreement between the borrower and the institution (e.g., to follow library rules), refer to LEG450 or LEG500 as appropriate.	
LIB334	5.2.006	Equipment Checkout Records	Records documenting the physical control of the library's lending program for equipment (e.g., laptops, tablets, cameras, etc.) to individual borrowers.	FE	3						
LIB335	4.1.009	Fines & Fees		FE	3						
LIB340	16.2.007	Interlibrary Loan (ILL) Records	Interlibrary loan requests fulfilled by the university library system for materials from outside institutions for materials requested from outside library systems.	AC				AC = Transaction is completed.		See FIN110 for accounts payable records [4.1.001].	
LIB360	16.2.009	Serials Records		AC				AC = After cataloging complete.			



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
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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

62 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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LIB410	16.2.002	Archives Collection Control Records	Collection control records documenting accessioning, cataloging, preserving, and referencing. May include but not limited to: deeds of gift; appraisal reports (monetary or non-monetary); accession sheets and reports; archives transmittal lists; deaccessioning recommendations; and loss of archival materials.	PM						See LIB120 Location Guides for archival finding aids [1.2.013].	
LIB420	16.2.003	Collection or Artifact Loan Records	Artifact and material loans contracted between units of the institution or between the institution and either other institutions or individuals. May include but not limited to: signed and legally binding agreements for incoming and outgoing loans between the collection administrators; receipts for loans and return of materials to the legal holder; and related forms, documentation, and correspondence.	AC	7			AC = Expiration or termination of the loan agreement according to its terms.		Upon the expiration of the retention period, repositories should consider transferring loan records to LIB410 Archives Collection Control Records if they possess continuing reference or administrative value.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

63 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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LIB440	16.2.006	Exhibition Records	Exhibit records documenting the display and use of artifacts and materials. May include but not limited to: artifact labels or placards; photographs of exhibits; exhibit renderings; and exhibit assembly and presentation instructions.	AC				AC = Conclusion of exhibit.	O	ARCHIVES NOTE: For museums, archival review and selection may be performed by museum curatorial staff. Materials pertaining to major exhibits may possess long-term historical value and may be retained either in the institutional archives or the museum unit, as appropriate.	
LIB450	5.4.011	Patron / Visitor Logs		PM						Retention for access to secure collections is a security measure; log records help date last known access in the event of missing materials.	
LIB455	16.2.010	Patron Registration Records	Patron registration forms filled out by archives users to gain access to the reading room to view archival materials. May also include photocopies of photo identification or other related materials.		4					Refer to LIB450 Patron/Visitor Logs for sign-in sheets, guest books, patron logs, and similar records documenting visitors to limited access or restricted areas of university facilities.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
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64 of 216

1. Agency Code:		2. Agency Name:									
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LIB460	16.2.012	Reference Request Records	This series documents requests for information about, or access to, items within the institution's collections. This series may include but is not limited to: reference request forms; general email correspondence; disposition of or time spent fulfilling the requests; call slips (also called pull slips); and related documentation and correspondence.	AV						See ADM610 for performance measures documentation [1.1.064]. See ADM850 Reports-Routine Activity for activity reports [1.1.069].	
LIB465	16.2.011	Permissions History Files	Records of the repository granting/denying permission to reproduce images of items in the collection. Includes permission forms and correspondence requesting permission to publish images from archival collections.	AV							
LIB500	4.1.001	Faculty Research Grant – Library Materials		FE	3						
LIB900	12.1.001	Career Ladder Promotion Evaluation Records	Evaluation records, scores, notes, and other documentation produced during the committee's review of promotion packets. Notification letters and related documentation regarding successful promotion should be added to respective candidates' personnel files as evidence of peer-reviewed promotion.	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 PER400s [3.1].	29 CFR 1602.49.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
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FE – Fiscal year end
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US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

65 of 216

1. Agency Code:			2. Agency Name:								
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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PER110	3.1.012	Employment Opportunity Announcements/Job Postings	Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.		2						29 CFR 1602.49(a) [State Universities].
PER120	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 PER150 Employment Selection Records for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process [3.1.014].	
PER130	3.1.001	Applications for Employment - Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC	2			AC = Date of the making of the record or the personnel action involved, whichever occurs later.		CAUTION: Does not include ADA Accommodation Requests; see PER219 [3.1.042].	29 CFR 1602.49(a) [State Universities].
PER140	3.1.002	Applications for Employment - Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC	5			AC = Termination of employment.			



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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

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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

66 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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PER150	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 the 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 item PER210 [3.1.026]. Does not include drug screening test results; see PER202a/b/c [3.1.040a/b/c]. Does not include pre-employments skills tests; see PER620 Aptitude and Skills Tests [3.3.027] and PER621 [3.3.028]. Does not include pre-employment polygraph examinations; see PER170 Polygraph Examination Results [3.1.043].	29 CFR 1602.49(a) [State Universities].
PER160	3.1.027	Certificates and Licenses	Certificates, licenses, or permits required of employees to qualify for or remain eligible to hold a position requiring certification or licensing.	AC	5			AC = Until superseded, expired, or upon separation of employee, as applicable.			
PER170	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.
PER200	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).



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)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

67 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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PER202a	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.
PER202b	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 PER202a for calibration documentation [3.1.040a].	
PER202c	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						
PER210	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 = When 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.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
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FE – Fiscal year end
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PM – Permanent
US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

68 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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PER215	3.1.029	Employment Eligibility/Federal I-9 Forms	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)(2)(i)(A) and (c) (2).
PER217	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.			
PER219	3.1.042	ADA Accommodation Requests	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.
PER220	3.1.038	Public Access/Non-Disclosure Form (Employee Privacy Election)	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						Retain most current version in HR personnel file for AC+75. CAUTION: Most recent public access election information must be kept as long as the former employee verification records. See PER210 Employee Benefits [3.3.011].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

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R/O – Review by State/University Archivist
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69 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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PER225	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) [State Universities].
PER230	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.
PER230.b	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.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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

FE – Fiscal year end
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US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

70 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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PER240	3.1.036	Apprenticeship 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.		5						29 CFR 30.8 (e).
PER245	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 examinations. See PER150 [3.1.014]. Does not include medical or physical examinations for employees exposed to hazardous materials. See RSIN 5.4.016a/b.	
PER250	3.1.018	Employee 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. SEE item LEG610 Litigation Files [1.1.048].	



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)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

71 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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PER255	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 EEO. 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 LEG610 Litigation Files, PER260 Employee Counseling Records, PER250 Employee Grievance Records, PER270 Employee/Personnel Corrective Action Documentation, and PER285 Employee/Personnel Disciplinary Action Documentation.	
PER260	3.1.006	Employee Counseling Records	Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisorial level except in those agencies with counseling staff.	AC	3			AC = Termination of counseling.			



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition

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CE – Calendar year end

FE – Fiscal year end

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PM – Permanent

US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist

R/O – Review by State/University Archivist

E – Exempt from archival review and transfer

72 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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PER270	3.1.020	Employee/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 item PER285 (Employee/Personnel Disciplinary Action Documentation [3.1.021]), all documentation from this series used to support disciplinary action must be retained for the minimum retention period described by item PER285.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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

FE – Fiscal year end
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PM – Permanent
US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

73 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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PER285	3.1.021	Employee/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 cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC	5			AC = Termination of employment			
PER310	3.1	Employee Retirement Selection-ORP/TRS/ERS		AC	75			AC = Termination of employment		Benefit selection is a one-time choice, must be retained as part of prior state service records.	
PER320	3.1.011	Employee Benefits	Agency copies of information relating to the selection by employees of life, health, vision, dental, disability, and other types of insurance or benefits offered by the State of Texas to its employees.	AC				AC = Until superseded or termination of employment		CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item PER720 Employee Deduction Authorizations [3.2.001].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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PM – Permanent
US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

74 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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PER410	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).
PER420	3.1.019	Performance Appraisals - Tenure or Promotion Track Employees	Job evaluations, performance appraisals, or other similar documents used to evaluate the performance of an employee.	AC	2			AC = The end of the tenure or career ladder review period			29 CFR 1620.32 (c).
PER440	12.1.001	Faculty Tenure and Promotion 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 (which may require the tenure review process), whichever occurs later. Note that the tenure review cycle is 6 years.		CAUTION: Retention period should be longer if a university's tenure review cycle requires it. For employment performance and appraisal records, see PER410 Performance Appraisals and PER420 Performance Appraisals - Tenure or Promotion Track Employees [3.1].	29 CFR 1602.49.
PER450	3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc.	AC	5			AC = Termination of employment			
PER460	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		Annual training certificates of Clery data liaisons and others who participate in Clery training will be kept by Clery Act Compliance Officer (CACO).	



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)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

75 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
PER510	3.1	Personnel Files (Human Resources)	Records of hired personnel (faculty, staff, and students), held by the Office of Human Resources which includes applications, PCRs, prior state service, W4 forms, retirement selections, evaluations, requests for outside/dual employment, and other records that track an individual's employment with the University. These files are slightly different than personnel files held in departments, but both types of files are unique and are both treated as records.	AC	5			AC = Termination of employment		NOTE: Prior to any destruction activity, review files for PER600 - Former Employee Verification / Prior State Service Records, PER310 - Employee Retirement Selection - ORP/TRS/ERS, and PER220 - Public Access / Non-Disclosure Form (Employee Privacy Election); these records have long-term retention. See PER550 for personnel files maintained by employing department.	
PER520	3.1.002	Personnel Files - Faculty, Tenured, and Tenure-track (Faculty Records)	Files on individual faculty members held by the Faculty Records Office that contains job history information as well as some personnel/employment records. These records are required for SACS review and some have historical value.	AC	10			AC = Termination of employment		Required for SACS review.	29 CFR 1602.49.
PER530	3.1.002	Personnel Files - Faculty, Adjunct (Faculty Records)	Files on individual members of the adjunct faculty held by Faculty Records Office that contains personnel-type information. These records are required for SACS review but do not have historical value because these individuals did not make a significant impact on teaching at Texas State.	AC	10			AC = Termination of employment		Required for SACS review.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

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76 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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PER550	3.1.002	Personnel Files - Departmental Records	Personnel files and personnel-related records that are maintained in departments for employees and faculty members as well as student workers. This is a unique records series: these records may be more comprehensive and specific than those maintained in Human Resources and Faculty Records.	AC	5			AC = Employee Separation from Department (Transfer or Termination)			
PER555		Manager Employee Personnel File	Manager's supporting notes, documentation, correspondence, memoranda, kudos, or reports related to the evaluation of an employee's job performance that are used for the performance appraisal.	AC	2			AC = Date evaluation is completed or termination of employment, whichever sooner.		CAUTION: Refer to PER410 for Performance Appraisals.	
PER600	3.3.011	Former Employee Verification/Prior State Service 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 PER220 Public Access/Non-Disclosure Form [3.1.038].	
PER605	3.3.015	Position/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3						
PER608	3.3.025	Job Procedure Records	Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US	3						



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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77 of 216

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PER610	3.3.024	Personnel Policies and Procedures	Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.	US	3						
PER615	3.1.041	Outside/Secondary Employment Authorizations	Requests and authorizations to perform work outside of the institution.	AC	2			AC = Until superseded, obsolete, or date of separation, as applicable.			
PER620	3.3.027	Aptitude and Skills Tests	Aptitude, competency, or skills tests and checklists required of job applicants or of current personnel to qualify for promotion or transfer, including validation records.	AC	2			AC = Until superseded or no longer used by agency.		CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.	29 CFR 1602.49 [State Universities].
PER621	3.3.028	Aptitude and Skills Tests (Test Papers)	Completed aptitude, competency, or skills test papers and checklists of job applicants or of current personnel taking a test to qualify for promotion or transfer.		2						29 CFR 1602.49 [State Universities].



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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78 of 216

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PER625	3.3.030	Internal Training Administration 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 ADM482 for external training records [1.1.043]. See RSIN PER460 for individual employee training records [3.1.027]. CAUTION: Does not include hazardous material training records. See item RSK330 for Hazardous Materials Training [5.4.007]. Records related to Clery training offered to internal departments will be kept by Clery Act Compliance Officer (CACO).	
PER630	3.3.020	Work Schedules/Assignments	Work, duty, shift, crew, or case schedules, rosters, or assignments.	AV							
PER640	3.3.023	Reimbursable Activities (Travel, Education, Professional Development)	Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE	3						
PER650	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).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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79 of 216

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PER660a	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).
PER660b	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).
PER662	3.3.033	Recruitment Plans	Diversity and recruitment plans and related workforce analyses.		3						Texas Labor Code, 21.501 and 502.
PER665	3.3.026	Agency Staffing Reports	Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name, staff hired during a month, detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US	3					HR weekly and monthly reports provided to CACO for CSA identification purposes are maintained by Clery Act Compliance Officer (CACO).	
PER670	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.
PER675	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 1620.32(c).
PER680	3.2	Human Resources Information System (HRIS) Reports		AC	4			AC = After Completion of the issue for which the report was created			



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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80 of 216

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PER685	3.3.010	Labor Statistics Reports	Reports providing statistical information on labor force.		3						
PER690	3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the agency from TWC or its predecessor pertaining to employees.	FE	3						
PER700	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).
PER710	3.2.008	Direct Deposit 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.			
PER720	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.			
PER730	3.2.004	Income Adjustments 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).
PER740	3.2.009	State Deferred Compensation Records	Records documenting the amount of pension or deferred compensation earned by individual employees.		4						



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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81 of 216

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PER750	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. Includes Agency Pay Plan records.		2						29 CFR 516.6(a)(2).
PER760	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 is later.			26 CFR 31.6001-1 (e)(2)..
PER765	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).
PER770	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.			
PER780	3.2.006	Agency Pay Plan / 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).
PER810	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.		4						40 TAC 815.106(i).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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82 of 216

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PER820	12.3.001	Time Sheets and Attendance Forms - Student Workers	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 PER810 [3.4.006] for all other time cards and time sheets, including those of non-work-study student employees.	34 CFR 668.24(e)(1), 34 CFR 675.19(b).
PER830	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).
PER840	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						
PER845	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3						
PER850	3.4.008	Sick Leave Pool Documentation	Records documenting number of hours transferred in and out of comprehensive sick leave pool.	FE	3						

STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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PER865	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 PER810 for timekeeping records [3.4.006].	
RSK100	5.4	Environmental Regulations Records	This series documents institutional compliance with environmental laws and guidelines of federal, state, or local governments.	AC	10			AC = Expiration of permit.		CAUTION: For records pertaining to radiation regulation, see item RSK135 Radiation Safety Committee Records and other RSK series on this schedule.	
RSK105	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 analyses derived from such reports.	AC	30			AC = Date of project or research completion.		See RSK620 Medical Records: Surveillance & Exposure and RSK621 Hazardous Materials – Periodic Monitoring [5.4.016a/b] for hazardous material exposure records.	29 CFR 1910.1001; 29 CFR 1910.1020(d)(ii); 25 TAC 295.62(a).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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84 of 216

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Agency Item No.	Record Series Item No.	Record Series Title	Description		Years	Months	Days	AC Definition		Remarks	Legal Citations
RSK110	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 RSK115 for records related to responding or recovering from an emergency [5.4.017].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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85 of 216

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Agency Item No.	Record Series Item No.	Record Series Title	Description		Years	Months	Days	AC Definition		Remarks	Legal Citations
RSK115	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			AC = Records are no longer viable for state or federal disaster recovery funds.	O	See RSK110 for Continuity of Operations Plans (COOP) [5.4.013]. 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. NOTE: In the case of natural disasters, records may be needed for much longer, so records owners should consider the AC definition to include potential for additional legislation/funding. NOTE: Risk Management requested a longer/more open-ended retention; with the increase in natural disasters, these records are often needed for far longer than the state schedule indicates.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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86 of 216

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RSK116	16.3.013	Emergency Response and Recovery Records - Residence Halls (Clery Act)	This series documents the events and damages to residence halls 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	7			AC = Records are no longer viable for state or federal disaster recovery funds.	O	Required by Clery Act.	
RSK120	16.3.013	Evacuation Plans (Clery Act)	Plans for evacuation of agency facilities in cases of emergency.	US	7					Clery Act requires institutions to provide and educate the community on evacuation plans.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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R/O – Review by State/University Archivist
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87 of 216

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RSK130	17.3.004	Institutional Biosafety Committee (IBC)	This series documents the activities of the institutional councils and boards, which review proposals and make recommendations for awards to faculty for research that is not otherwise supported by organized or directed programs but is designed to lead to other funding sources. Examples of projects funded are pilot research, emergency funding, emerging research opportunities, new research field or new research field for investigator, developing research laboratories, and centrally shared research resources. This series includes meeting minutes and final research reports.		3						42 CFR 73.17(c).
RSK135	5.4	Radiation Safety Committee Records		PM					O	Because these records are permanent, send older committee records to the University Archives for preservation.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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88 of 216

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RSK140	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 policy according to its terms.			Government Code, 441.1855.
RSK140.b	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 or termination of policy according to its terms.			Government Code, 441.1855.
RSK160	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 RSK162 and RSK164 for non-employee accidents [5.4.014a/b].	29 CFR 1904.33; 28 TAC 120.1(c).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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US – Until Superseded

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R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

89 of 216

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RSK162	5.4.014a	Accident Reports - Adult	Reports of accidents to adults on university property, at university events, or any other situation in which the university could be party to a lawsuit.	AC	3			AC = Date of report, or if a claim is filed, after settlement or denial of claim, whichever applicable.		If claim is filed, use FIN750 Claim Files [4.7.005]. Use RSK160 Occupational Accident Reports for reports regarding employees [5.4.001].	
RSK164	5.4.014b	Accident Reports - Minors	Reports of accidents to minors on university property, at university events, or any other situation in which the university could be party to a lawsuit.	AC	3			AC = Date minor reaches the age of majority, or if a claim filed, after settlement or denial, whichever applicable.		If claim is filed, use FIN750 Claim Files [4.7.005]. Use RSK160 Occupational Accident Reports for reports regarding employees [5.4.001].	
RSK170	5.6	Vehicle Accident Records	Vehicle accident reports; vehicle accident claims; damage or loss of state property reports and related documentation and correspondence. Information may include: vehicle type and identification number; name of party using the vehicle; notation of condition before and after use; and authorizing signatures.	FE	3					NOTE: This category is for records related to vehicles, not individuals. Retention based on fiscal records and damage to state property (TSLAC 5.6). NOTE: See RSK162 Accident Reports - Adult [5.4.014a] and RSK164 Accident Reports - Minors [5.4.014b] for accidents involving individuals.	
RSK180	5.4.011	Visitor Control Registers/Access Logs	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.		3						



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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R/O – Review by State/University Archivist
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90 of 216

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RSK190	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 ADM110 Audits (Internal and External) for individual Audit records not related to the peer review of an Audit Plan [1.1.002].	Government Code, 2102.013.
RSK195	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 ADM110 Audits (Internal and External) for individual Audit records not related to the peer review of an Audit Plan [1.1.002].	Government Code, 2102.007(a)(5).
RSK210	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 (RSK365) are not maintained, these records must be maintained for 30 years [5.4.009].	29 CFR 1910.1020(d)(1)(ii)(B)



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

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91 of 216

1. Agency Code:		2. Agency Name:									
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					Years	Months	Days				
RSK220	5.4.003	Safety, Drill, and Inspection Records	Fire, safety, and emergency drill, alarm, and other inspection records of agency facilities and equipment, including orders issued by inspectors such as the Fire Marshal 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 item FCL120 Building Plans and Specifications [5.2.028]. Clery Act Compliance Officer (CACO) keeps records of residence halls fire drills and the fire safety equipment within residence halls for 7 years in compliance with Clery Act.	
RSK221	16.3	Safety, Drill, and Inspection Records - Residence Halls (Clery Act)	Fire, safety, and emergency drill, alarm, and other inspection records of campus housing facilities and equipment, including orders issued by inspectors such as the Fire Marshal to correct deficiencies in compliance with any code or regulations.	AC	7			AC = Date of drill, alarm, inspection, or date of the correction of deficiency, whichever applicable.		Required by Clery Act.	
RSK230	16.3.004	Fire Safety Management (Clery Act)		US	7					Required by Clery Act.	29 CFR 1910 (L).
RSK310	16.3.004	Indoor Air Quality - Testing, Monitoring, & Remediation			40						29 CFR 1910.1020.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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92 of 216

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					Years	Months	Days				
RSK320	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. Includes chemical hygiene plans.	US	5						Texas Health and Safety Code, 502.009(g).
RSK330	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 PER450 for individual employee training records [3.1.027].	Texas Health and Safety Code, Section 502.009(g).
RSK335	5.4	Hazardous Materials - Manuals, Policies, Procedures, Signage		US	5						
RSK340	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 analyses derived from such reports.	AC	30			AC = Date of project or research completion.		See RSK620 and RSK621 for hazardous material exposure records [5.4.016a/b].	29 CFR 1910.1001; 29 CFR 1910.1020(d)(ii); 25 TAC 295.62(a).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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93 of 216

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RSK345	5.4	Hazardous Materials - Remediation Records			40						29 CFR 1910.1020.
RSK365	5.4.009	Workplace Chemical Lists	List of each hazardous chemical normally present in the workplace.		30						Texas Health and Safety Code, 502.005(d).
RSK370	5.4	Water & Wastewater Permit Logs/Registers		PM						Local Schedule "Utility Services" 5025-13. Because these records are permanent, send older committee records to the University Archives for preservation.	
RSK375	5.4	Water & Wastewater Records		AC	5			AC = After completion of permit, report, compliance actions, analysis, etc.			30 TAC 290.46(f)(3); 30 TAC 290.112(4); 30 TAC 312.47(a) & (b); 30 TAC 305.125 (11)(B); 30 TAC 319.7.
RSK410	5.4	Biosafety - Manuals, Policies, Procedures, Signage		US	5						
RSK420	5.4.007	Bloodborne Pathogens - Training			5						25 TAC 96; 29 CFR 1910.1030(h)(2)(ii); Texas Health and Safety Code 502.009(g).
RSK430	5.4	Bloodborne Pathogens - Exposure Control Plan		US	5						25 TAC 96.202; 29 CFR 1910.1030.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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94 of 216

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					Years	Months	Days				
RSK440	5.4	Bloodborne Pathogens - Exposure/Incident/Injury Records		AC	30			AC = Student or employee separation from the University.			29 CFR 1910.1030(h)(5)(iii); 29 CFR 1910.1020(d)(1)(ii).
RSK450	5.4	Biohazard Incident Emergency Response		US	5						
RSK470	5.4	Biowaste Materials Management			30						29 CFR 1910 Subpart H; 25 TAC 330.1219; 30 TAC 330.1219.
RSK610	3.1	Medical Records: Employee Accommodation (FMLA & ADA)		AC	10			AC = Termination of employment.			Medical Liability Act guidelines; 22 TAC 165; By law - Health and Safety Code, Section 241.103; 29 CFR 825.500.
RSK620	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.			29 CFR 1910.1020(d); 29 CFR 1910.1001; 29 CFR 1910.1020(d)(1)(ii).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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95 of 216

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					Years	Months	Days				
RSK621	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						29 CFR 1910.1020(d); 29 CFR 1910.1001; 29 CFR 1910.1020(d)(1)(ii).
RSK630	3.1	Medical Records: Workers' Compensation (Employee)		AC	30			AC = Termination of employment.			29 CFR 1910.1020(d)(1)(ii).
RSP102	17.3	Grant Research Records - Working Files	Contracts and leases executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Date of submission of the final expenditure report, or date any action involving those records is resolved.		CAUTION: Retention requirements may vary depending on the specific federal funding agency; default to longer retention requirements.	NIH Guidelines; OMB Circular A: 110-5.
RSP102.b	17.3	Grant Research Records - Working Files	Contracts and leases executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Date of submission of the final expenditure report, or date any action involving those records is resolved.		CAUTION: Retention requirements may vary depending on the specific federal funding agency; default to longer retention requirements.	NIH Guidelines; OMB Circular A: 110-53.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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96 of 216

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					Years	Months	Days				
RSP104	17.3	Grant Research Records - Final Research Report	Contracts and leases executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Date of submission of the final expenditure report, or date any action involving those records is resolved.		CAUTION: Retention requirements may vary depending on the specific federal funding agency; default to longer retention requirements.	NIH Guidelines; OMB Circular A: 110-.53.
RSP104.b	17.3	Grant Research Records - Final Research Report	Contracts and leases executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Date of submission of the final expenditure report, or date any action involving those records is resolved.		CAUTION: Retention requirements may vary depending on the specific federal funding agency; default to longer retention requirements.	NIH Guidelines; OMB Circular A: 110-.53.
RSP120	17.3	Awarded Grant Research Records without Contracts - Working Files		AC	4			AC = Date of submission of the final expenditure report.		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.	NIH Guidelines; OMB Circular A: 110-.53.
RSP122	17.3	Awarded Grant Research Records without Contracts - Final Research Reports		AC	4			AC = Date of submission of the final expenditure report.		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.	NIH Guidelines; OMB Circular A: 110-.53.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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97 of 216

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					Years	Months	Days				
RSP150	4.7.008a	Awarded Non-Federal Grant Records with Contracts	This series documents grants and contracts from private foundations or non-federal government agencies awarded to faculty, staff and graduate assistants.	AC	7			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.	
RSP152	4.7.008a	Awarded Non-Federal Grant Records without Contracts	This series documents grants and contracts from private foundations or non-federal government agencies awarded to faculty, staff and graduate assistants.	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.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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98 of 216

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					Years	Months	Days				
RSP200	17.3.005	Institutionally Funded Research - Grant Records	This series documents the activities of the institutional councils and boards, which review proposals and make recommendations for awards to faculty (especially new faculty) for research that is not otherwise supported by organized or directed programs but is designed to lead to other funding sources. Examples of projects funded are pilot research, emergency funding, emerging research opportunities, new research field or new research field for investigator, developing research laboratories, and centrally shared research resources.	PM					O		21 CFR 56.115(b), 42 CFR 73.17(c).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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99 of 216

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					Years	Months	Days				
RSP205	17.3.007	Institutionally Funded Research—Project Review Records	his series documents the activities of the institutional councils and boards, which review proposals and project funding requirements to make recommendations for awards to faculty for research that is not otherwise supported by organized or directed programs but is designed to lead to other funding sources. Examples of projects funded are pilot research, emergency funding, emerging research opportunities, new research field or new research field for investigator, developing research laboratories, and centrally shared research resources. May include but not limited to: applicant case files; agendas; notes; working papers; award letters; and applications for research support.	AC	5			AC = Date of notification.			21 CFR 56.115(b).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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100 of 216

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					Years	Months	Days				
RSP210	17.3.005	Institutionally Funded Research—Minutes and Final Research Reports	This series documents the activities of the institutional councils and boards, which review proposals and make recommendations for awards to faculty for research that is not otherwise supported by organized or directed programs but is designed to lead to other funding sources. Examples of projects funded are pilot research, emergency funding, emerging research opportunities, new research field or new research field for investigator, developing research laboratories, and centrally shared research resources. This series includes meeting minutes and final research reports.	PM					O		21 CFR 56.115(b), 42 CFR 73.17(c).
RSP300		Institutional Review Board (IRB) Minutes			5						
RSP310		Institutional Review Board (IRB) Research Records		AC	3			AC = Completion of research			



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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101 of 216

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					Years	Months	Days				
RSP320	17.3.016	Scientific Misconduct Records	Accusations of research project-related misconduct brought forward by or against university personnel and affiliates.	AC	7			AC = Completion of proceeding involving the research misconduct allegation.			42 CFR 93.317(b).
RSP330	17.3.003	Institutional Animal Care and Use Committee (IACUC) Records	Institutional Animal Care and Use Committee (IACUC) meeting minutes, records of attendance, activities of the committee, committee deliberations, records of proposed activities involving animals and proposed significant changes in activities involving animals, and whether IACUC approval was given or withheld, and semiannual IACUC reports and recommendations (including minority views).	AC	3			AC = Completion of the activity.		CAUTION: If the research facility has been notified in writing that specified records shall be retained pending completion of an investigation or proceeding, the research facility shall hold those records until their disposition is authorized in writing by the United States Department of Agriculture, Animal and Plant Health Inspection Service.	9 CFR 2.35, 42 CFR 73.17(c).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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102 of 216

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					Years	Months	Days				
RSP335	17.3.001	Animal Breeding and Management Records	Records relating to the care, management, and breeding of animals for research and teaching purposes.	AC	3			AC = Completion of activity, death of animal, or transfer of animal to another institution, as applicable.		CAUTION: If the research facility has been notified in writing that specified records shall be retained pending completion of an investigation or proceeding, the research facility shall hold those records until their disposition is authorized in writing by the United States Department of Agriculture, Animal and Plant Health Inspection Service.	7 USC 2140, 9 CFR 2.35.
RSP337	17.3.018	Animal Research Controlled Substances	Lists and logs of controlled substances used by veterinarians in animal research. Records may list dates of drug acquisition, quantity of purchases, dates dispensed, patients receiving drugs, and total balance on hand of scheduled drugs.		5					See SHC400 and SHC402 for health clinic or hospital pharmacy records [16.1.031a/b].	22 TAC 573.50.
RSP340		Research, Clinical, and Teaching Drug Inventory Records			2						21 CFR 1304.04(a).
RSP345	16.1.010	Body Donation Records	Bequeathal forms, cadaver tracking and acceptance information, death certificates, State Anatomical Board (SAB) forms, Morgue Control Sheets, and final disposition records for people who have donated their bodies, organs, or tissues to the institution.	PM						For other physical and monetary donations and gifts, see ADV110 Gift and Fundraising Records [13.2.003].	Health and Safety Code, 691.031.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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103 of 216

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RSP400	17.3.012	Research Data—Non-Funded Projects	Non-regulated research activities and research data of projects that are not funded by grants and are not subject to any state or federal guidelines.	AV						See RSP410 for research data related to grant-funded or sponsored research [17.3.013]. For research data related to grant-funded or sponsored research, please refer to the RSP100s - Research Grants.	
RSP410	17.3.013	Research Data—Funded Projects	Final and interim research reports, working files, research data, protocols, laboratory notebooks, documentation, and any specimens produced for a granting agency or sponsor for funded research, studies, clinical trials, and non-clinical trials.	AC	7			AC = Expiration or termination of the grant or sponsorship agreement, or close of study, whichever applicable.	O	CAUTION: Research grants may have individual guidelines for retention. Records must be retained in accordance with guidelines of grant or contract. ARCHIVES NOTE: Working files used in creating the final research report are not subject to archival review and may be disposed of at the expiration of the retention period.	NIH Guidelines, OMB Circular A: 110-.53, 2 CFR 200.334, 21 CFR 58.195(b), 40 CFR 160.195(b), 42 CFR 73.17(c).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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104 of 216

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					Years	Months	Days				
RSP800	4.7.008a	Awarded Non-Research Grant Records		AC	3			AC = Completion of the grant [Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule)] plus the length of time required by the grant's terms.* If no terms are specified or if the grant requires less than a 3-year retention, records should be retained through the end of the fiscal year in which the grant ended + 3 years (FE+3). *which ever is longer		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.	
RSP900	4.7.008b	Denied Research Grant Proposal Applications Records	Non-awarded, denied, or unfunded grant applications and proposals.	AC	2			AC = Date of notification.			
RTN110	18.1	Radio and Television License Records		AC	5			AC = Expiration or cancellation of license or permit.			FCC Bulletin EB-18FM September 2009 Edition, Section I.A.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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105 of 216

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					Years	Months	Days				
RTN120	18.1.001	Daily Broadcast Logs and Station Records	Daily broadcast activities of the institutional radio station or television channel. May include but not limited to: log sheets showing time signed on and off; any delays in broadcasting; engineer's name; announcer's name; and technical difficulties.		2					CAUTION: See legal citations for exceptions to the retention requirement in the event of disasters, claims, or complaints to the Federal Communications Commission (FCC).	47 CFR 73.1840(a), 47 CFR 73.1800, 47 CFR 73.1820.
RTN130	18.1	Chief Operator Records		AC	2			AC = After completion of term / when superseded.			FCC Bulletin EB-18FM September 2009 Edition, Section I.C.
RTN140	18.1.004	Broadcast Station Public Inspection File	Public inspection file for noncommercial radio stations, which includes all records listed in 47 CFR 73.3527(e), as required by the FCC.	AC				AC = Expiration or cancellation of license or permit.			47 CFR 73.3527(e).
SVC110	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						
SVC120	5.1.011	Photocopier and Telefax Usage Logs & Reports	Registers or logs of print copies and fax transmissions made by user or in total.	AV							
SVC130	5.1.005	Postage and Shipping Records	Records and reports of postage expenses, including postal meter usage.	FE	3						



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

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106 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
SVC135	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.	
SVC140	5.1.007	Requisitions for In/Inter-Agency Copy/Printing Service	Includes word processing and data processing.	AV							
SVC145	1.1.057	Printing Estimates - Campus Printing Services		AC				AC = After estimate has expired (30 days).			
SVC150	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						
SVC160	5.1.015	Correspondence / Package 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						
SVC170	5.1.003	Delivery Reports	Records documenting incoming or outgoing deliveries, including through private courier services.		2						



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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107 of 216

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SVC210	5.3.009	Requests for Information	Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC				AC = Decision not to proceed with the procurement.		See ADM220, ADM230, and ADM235 for public information requests [1.1.020 and 1.1.021]. CAUTION: If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with SVC220a/b and SVC222 [5.3.007a/b/c].	
SVC220	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.
SVC220.b	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.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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108 of 216

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SVC222	5.3.007c	Bid Documentation – Unsuccessful or Invalid Bids	Unsuccessful or 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.			
SVC230	5.3.004	Internal Requests for Supplies & Equipment		AV							
SVC232	5.3.004	Shipping Information / Order Acknowledgements	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.	
SVC240	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						
SVC242	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 a state agency from vendors.	AC	3			AC = Date account is opened or date instrument purchased.			26 CFR 31.3406(h)-3(g).
SVC270	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).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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109 of 216

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SVC330	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 FIN110 Accounts Payable Information for telephone bills and billing details [4.1.001].	
SVC350	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.			
SVC410	5.6	Off-Campus Shuttle Bus Schedules		AC	3			AC = After completion of the semester schedule.			
SVC500	5.1.010	Licenses and Permits for Non-Vehicles	Licenses and permits obtained from external 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.	
SVC505	11.1.010	Permit and License Issuance	Issuance of permits and licenses by the institution for sales, solicitation, facility usage, and similar activities.	AC	2			AC = Expiration, cancellation, revocation, or denial.		CAUTION: See VCL500 for parking permits [5.6.009]. See SHO650 for alcoholic beverage control records [16.4.001].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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110 of 216

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					Years	Months	Days				
SCV510	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 policy according to its terms.			Government Code, 441.1855.
SCV510.b	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 or termination of the policy according to its terms.		NOTE: Refer to SB20 (84th Leg.) for retention period context.	Government Code, 441.1855.
UAD100		Texas State University System Foundation	Records include financial statements, meeting agendas and minutes.	US	5				I	Some records are archival; contact the archives prior to disposition. Articles of incorporation are permanent records and should be preserved in the archives.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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111 of 216

1. Agency Code:		2. Agency Name:									
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UAD110	1.1.058	Board of Regents - Minutes and Resolutions		PM					I	<p>Board minutes / agendas / resolutions are held in the University Archives for long-term retention and are available in Digital Collections.</p> <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 ADM511 [1.1.059], ADM512 [1.1.060], ADM513 [1.1.061], and ADM514 [1.1.062] must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records</p>	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

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112 of 216

1. Agency Code:		2. Agency Name:									
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					Years	Months	Days				
UAD120	1.1.004	Legislative Appropriations 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.	
UAD210	1.1.070	Academic Rules, Policies, Procedures - Final	This series documents the academic policies for the University. Policies are published in and made available through the undergraduate catalog and the graduate catalog.	AC	3			AC = Until superseded, or termination of program, rules, policies, or procedures, whichever applicable.	I	Records require preservation; contact the University Archives to transfer superseded or deleted policies. 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.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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113 of 216

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					Years	Months	Days				
UAD230	1.1.070	Agency Rules, Policies & 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 = Completion or termination of program, rules, policies, or procedures.	I	Records are archival and require preservation; contact the University Archives after the active retention period has expired. 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. The ASFSR (UPS800) is required to include numerous university policies and procedures, and required to be shared with current and prospective students and employees. Clery Act Compliance Officer (CACO) will maintain these records.	
UAD300	1.1.068	Reports – Agency Performance Measures		AC	6			AC = September 1 of odd-numbered calendar years.		See ADM610 for documentation used to produce reports on agency performance measures [1.1.064].	
UAD310	1.1.068	Reports - Academic Statistics		PM					I		



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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114 of 216

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					Years	Months	Days				
UAD311	1.1.065	Reports - Academic Statistics - Raw Data		AV							
UAD315	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					I	For raw data or working files used to create these reports, refer to ADM820 (Reports and Studies (Non-fiscal) - Raw Data). These reports are also used to determine financial aid eligibility [1.1.065].	
UAD320	1.1.066	Reports - Annual or Biennial Agency Reports (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-numbered 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.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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115 of 216

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					Years	Months	Days				
UAD330	1.1.065	Reports - External Research & Surveys		AC				AC = Until report has fulfilled the purpose for which it was created.		See ADM810 Reports and Studies (Non-Fiscal) [1.1.067] 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 especially ADM610 Performance Measures Documentation [1.1.064].	
UAD340	1.1	Reports - Agency Survey and Reporting		PM					I		



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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R/O – Review by State/University Archivist
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116 of 216

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					Years	Months	Days				
UAD350	1.1.066	Reports - State Legislative Reporting Requirements		AC	6			AC = September 1 of odd-numbered 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.	
UAD355		Reports: Student Perceptions of Instruction (SPI)			2						House Bill 2504 (2009).
UAD360	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						
UAD410		Accreditation Reports - Agency		PM					I	Local Schedule JC 3800-01.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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117 of 216

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UAD420	17.2.002	Professional and Program 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 self-evaluation submitted to accreditation board; final accreditation report issued by accreditation board, and any supporting documentation needed to provide context for accreditation report.	PM					O		
UAD430	17.2.001	Professional and Program 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.			



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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R/O – Review by State/University Archivist
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118 of 216

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UAD440	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	These records are also used to determine financial aid eligibility. SEE item EDP220 for information held in the SIS [2.1.002].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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R/O – Review by State/University Archivist
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119 of 216

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					Years	Months	Days				
UAD500	11.1.015	University Committee Records	Records of standing, advisory, and ad hoc committees and councils made up of members from a department, a college, a variety of units, or an office where policies and procedures are set. May include but not limited to: agendas; meeting minutes; reports; discussion of research and raw data; working papers; and related documentation and correspondence.		3				O	<p>CAUTION: Federal or state regulations may require longer retention periods. The university must consider any applicable federal or state regulations in establishing a retention period for each committee's records.</p> <p>See ADM550 for Staff Meeting Minutes and Notes [1.1.063].</p> <p>See RSK100s and RSP300s for review board records related to research [Section 17.3].</p> <p>For committees specific to the Clery Act (Clery Compliance Committee and Data Integrity Liaisons), Clery Act Compliance Officer (CACO) will maintain all records.</p>	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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R/O – Review by State/University Archivist
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120 of 216

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UAD505	11.1.004	Awards 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 PER450 for records of an employee receiving an award [3.1.037]. UAD510 for award administration and history records [11.1.003].	
UAD510	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				AC = Termination of award	O	ARCHIVES NOTE: Only institutional awards merit archival review. Department-level awards recognizing employee or student achievement do not need to be reviewed for archival value. See ADV300 Public Relations Records for press releases [1.1.019]. See UAD505 for award selection committee records [11.1.004].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
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121 of 216

1. Agency Code:			2. Agency Name:								
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					Years	Months	Days				
UAD520	1.1.024	Plans and Planning Records - Agency		AC	3			AC = Term of president.	O	Some records have historical value and require preservation. Contact the University Archives after the active retention period has expired. ARCHIVES NOTE: Data processing planning records are not archival.	
UAD530	11.1.007	Event Administration Records - University/Agency 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			AC = Completion of the event.	O	See ADM425 for routine event administration records [11.1.006].	
UAD540	13.2.005	Records of Gifts Received (non-monetary)	Non-monetary gifts, including artwork and artifacts.	PM					I	SEE item ADV115 for financial gifts [13.2.005].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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PM – Permanent
US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

122 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
UAD550	11.1.007	Lectures and Lecture Series Records	Materials related to the planning and arrangement of University lecture series. 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			AC = Completion of the event.	O	Records have historical value and require preservation. CAUTION: Refer to UAD530 for event administration records [11.1.007].	
UAD600	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.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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123 of 216

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
UAD610	1.1.075	Alternative Dispute Resolutions - Final Agreement	Final agreement described by Government Code, 2009.054(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.		If related to a Title IX complaint or finding should be kept as this is a proceeding named in the ASFSR.	Texas Civil Practice and Remedies Code, 154.071.
UAD620	1.1.074	Sunset Review Report and 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 agency response to the commission's draft report, and documentation of the agency's implementation of the commission's final recommendations. The final version of the agency self-evaluation report must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(1).	
UPS100	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						
UPS110	1.1.067	Monthly Statistical Reports			3				O		



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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124 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
UPS120	1.1.067	Annual Department Report			3				O		
UPS121	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	All relevant documents and records for the ASFSR are kept by Clery Act Compliance Officer (CACO).	20 USC 1092(f), 34 CFR 668.46.
UPS122	16.3.011	Clery Act Reporting - Crime Log and Statistics	Crime log and statistics on criminal homicide; sex offenses; dating and domestic violence; talking; 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					Copies of data logs are kept by UPD and Clery Act Compliance Officer (CACO).	20 USC 1092(f), 34 CFR 668.46.
UPS124	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 RSK110 for Continuity of Operations Plans not part of Clery Act reporting [5.4.013]. Copies of notifications and procedures are kept by UPD, EHRSM and Clery Act Compliance Officer (CACO).	20 USC 1092(f), 34 CFR 668.46(g).
UPS130	16.3.003	Bicycle Registration Records	Registrations completed by institution students, faculty, and staff for use of bicycles on campus.	AV							



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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125 of 216

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					Years	Months	Days				
UPS200	5.1.018	Surveillance Videos	Surveillance videos of buildings, facilities, vehicles, or other state property.	AV						See RSK160, RSK162, or RSK164 if video is needed for an accident investigation [5.4.001 or 5.4.014] or LEG610 if the video is needed as evidence in litigation [1.1.048]. The disposal of surveillance videos need not be documented through destruction signoffs (ADM730) or in records disposition logs (ADM740) [1.2.001 or 1.2.010].	PS4050-06.
UPS210	16.3	Video/Audio recordings, no incident	Video or audio recordings from officer-worn or police vehicles of persons on whom charges are not filed.				90			For incidents and offences captured on recordings, follow retention periods for Internal Affairs records or Offense Investigations, as appropriate, but not less than 90 days. The disposal or overwriting of surveillance videos is exempt from the records disposition logs (RDL) requirement.	Police vehicles: By law - Code of Criminal Procedure §2.135(b). Officer-worn: By law - Occupations Code §1701.655(b)(2).
UPS220	16.3.054	Weapons Records - Inventory	Inventories of weapons.	US	3						

STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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R/O – Review by State/University Archivist
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126 of 216

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					Years	Months	Days				
UPS222	16.3.052	Weapons Records - Disposition	Records documenting the disposition of police weapons, including but not limited to buy-back programs, trade-ins, and upgrades with vendors.		3						
UPS224	16.3.053	Weapons Records - Inspection and Repair	Records of inspection and repair of weapons.	LA							
UPS226	16.3.055	Weapons Records - Issuance	Logs for issuing weapons to officers.	AC	3			AC = Return of weapon.			
UPS240	16.3.043	Police Animal Records	Records concerning horses, dogs, or other animals utilized by campus police, including records of the acquisition of the animal, its registration and pedigree papers, records of training, and its veterinary history.	AC	2			AC = Retirement, death, or sale of the animal.			
UPS250	16.3.026	GPS Tracking Records	Global Positioning System (GPS) data used to track locations of police and other state vehicles.				30			CAUTION: If the GPS data is used to establish the location of a police vehicle as part of an investigation, see investigation case file. The disposal of monitoring records that are automatically overwritten need not be documented through destruction signoffs (ADM730) or in records disposition logs (ADM740) [1.2.001 or 1.2.010].	
UPS255	5.6.005	Police Vehicle Logs		FE	3						



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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127 of 216

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					Years	Months	Days				
UPS260		Automated License Plate Reader (ALPR) Information		AV							PS4175-21.
UPS310		Texas Commission on Law Enforcement Officers Standards and Education (TCLEOSE)		AC	2			AC = Employee separation.			Section 1701.351(a) of the Texas Occupations Code.
UPS320	16.3.032	Internal Affairs Investigation Records - Unfounded/Not Sustained	Records documenting the initiation, investigation, and disposition of internal affairs investigations of alleged misconduct by law enforcement officers. Includes records of investigations whose findings are not sustained, or in cases where accusations are determined to be unfounded or the accused is exonerated.	AC	3			AC = Completion of the investigation.		CAUTION: A 1-year infraction-free period must precede the date of destruction.	
UPS322	16.3.031	Internal Affairs Investigation Records - Informal Discipline/Inconclusive	Records documenting the initiation, investigation, and disposition of internal affairs investigations of alleged misconduct by law enforcement officers. Includes records of investigations that result in sustained informal discipline (i.e., disciplinary action below the level of a written reprimand) or of investigations whose findings are inconclusive.	AC	5			AC = Completion of the investigation.		CAUTION: A 1-year infraction-free period must precede the date of destruction.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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R/O – Review by State/University Archivist
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128 of 216

1. Agency Code:		2. Agency Name:									
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					Years	Months	Days				
UPS324	16.3.030	Internal Affairs Investigation Records - Formal Discipline	Records documenting the initiation, investigation, and disposition of internal affairs investigations of alleged misconduct by law enforcement officers. Includes records of investigations that result in sustained formal discipline (i.e., disciplinary action at or above the level of a written reprimand).	AC	15			AC = Completion of the investigation.			
UPS326	16.3.029	Internal Affairs Investigation Records - Death/Injury	Records documenting the initiation, investigation, and disposition of internal affairs investigations of alleged misconduct by law enforcement officers. Includes records of investigation of law enforcement shooting incidents which result in death or injury to any person, including a police officer.	PM							PS4075-01a.
UPS400	16.3.014	Communication Logs	Records of internal communications, including telephone and radio logs.				30			See USP410 for dispatch records [16.3.018].	
UPS410	16.3.018	Dispatch Reports (includes case cards) (Clery Act)	Record created by dispatcher on each call for service documenting the dispatch of a campus police officer to investigate a disturbance or possible crime on the institution's campus. Includes date and time call received, nature of call, and details of action taken in response to call.		7				O	All calls, reports and complaints must be reviewed for Clery purposes and retained per Clery Act requirements.	PS4100-05.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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129 of 216

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					Years	Months	Days				
UPS420	16.3.007	Campus Notifications (Clery Act)	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.		7				O	Retention changed to accommodate Clery Act. Copies of notifications are kept by UPD, EHRS and Clery Act Compliance Officer (CACO).	
UPS430	16.3.001	Antenna and Transmitter Documentation	Records documenting the monitoring, inspection, measurement, repair, and illumination of antenna, antenna supporting structures, and transmitters authorized to operate with a power output in excess of two watts.		1						47 CFR 90.447.
UPS500	16.3.042	Police Activity Logs or Dockets (Clery Act)	Logs or equivalent records, usually arranged chronologically or by case, court, or citation number, providing summary data on complaints investigated by law enforcement officers, arrests made, citations issued, accidents investigated, court arraignments, court appearances by officers, and similar activities relating to the arrest or citation of persons or the investigation of offenses.		7				O	Retention is 7 years after last entry if in a bound volume. All calls, reports and complaints must be reviewed for Clery purposes so retention is set by Clery Act requirements. NOTE: These logs should be inclusive of complaints received, arrests, citations, and offense investigations, etc., therefore UPS510-UPS540 records do not need to be retained for the Clery Act. However, should documentation change so that these Activity Logs/Dockets are no longer all inclusive as listed, the individual records under UPS510-UPS540 would need to be retained for Clery purposes.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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R/O – Review by State/University Archivist

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130 of 216

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					Years	Months	Days				
UPS505	16.3.047	Rap Sheets	Rap sheets received from the Texas Department of Public Safety (DPS) or other law enforcement agencies.	AV						PS4125-06.	
UPS510	16.3.036	Arrest Reports: Class C misdemeanors, unclassified violations of state law, or local ordinance punishable by fine only				6				PS4125-02.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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131 of 216

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					Years	Months	Days				
UPS515	16.3.002	Arrest Reports: all other offenses	Arrest report and fingerprints on each person arrested and charged with a felony or a misdemeanor not punishable by fine only. Report includes the name (including aliases), date of birth, and physical description of the offender; the name of the arresting agency; the arrest charge and whether it is a felony or a misdemeanor; the date of arrest; and the date and exact disposition of the case by the agency.		75					CAUTION: If the arrest report does not provide the information listed in the record description, offense investigation records must be retained 75 years or until date of death of the individual. CAUTION: For retention of juvenile fingerprints, consult Family Code 58.002. NOTE: Records may be destroyed upon date of death of individual, if known. See UPS520 for Class C misdemeanors or other violations punishable by fine only [16.3.036]. PS4125-02.	Code of Criminal Procedure, 66.102.
UPS520	16.3.036	Offense Records - Class C Misdemeanors	Arrest reports and citations for Class C misdemeanors and unclassified violations of state law or local ordinance punishable by fine only, such as Minor in Possession (MIP), Minor in Consumption (MIC), and possession of drug paraphernalia.			6				CAUTION: For retention of juvenile case files, consult Family Code 58.264(b).	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

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R/O – Review by State/University Archivist
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132 of 216

1. Agency Code:		2. Agency Name:									
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					Years	Months	Days				
UPS525	16.3.035	Offense Records - Class A and B Misdemeanors and State Jail Felonies	The person arrested or cited, by the dismissal of charges against the person, or by the entry on the record of a court by a prosecuting attorney of a nolle prosequi. May include but not limited to: offense and supplemental offense reports; investigation reports and notes; witness statements; latent fingerprints; results of chemical analysis and polygraph tests; crime scene, mug shot, and other photographs; laboratory reports; citations; affidavits; criminal process; victim impact statements; and other records relating and customary to the investigation of criminal offenses or other violations of state law or local ordinance.		2					CAUTION: Records of cases not cleared must be retained until the statute of limitations has expired. CAUTION: For retention of juvenile case files, consult Family Code 58.264(b). NOTE: Records may be destroyed upon the death of the individual, if known.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition

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R/O – Review by State/University Archivist

E – Exempt from archival review and transfer

133 of 216

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
UPS530	16.3.038	Offense Records - Second- and Third-Degree Felonies and DWI Offenses	Cases cleared by the conviction or acquittal of the person arrested or cited, by the dismissal of charges against the person, or by the entry on the record of a court by a prosecuting attorney of a nolle prosequi. May include but not limited to: offense and supplemental offense reports; investigation reports and notes; witness statements; latent fingerprints; results of chemical analysis and polygraph tests; crime scene, mug shot, and other photographs; laboratory reports; citations; affidavits; criminal process; victim impact statements; and other records relating and customary to the investigation of criminal offenses or other violations of state law or local ordinance.		10					CAUTION: Records of cases not cleared must be retained until the statute of limitations has expired. CAUTION: For retention of juvenile case files, consult Family Code 58.264(b). NOTE: Records may be destroyed upon the death of the individual, if known	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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134 of 216

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					Years	Months	Days				
UPS535	16.3.037	Offense Records - First-Degree and Capital Felonies	Cases cleared by the conviction or acquittal of the person arrested or cited, by the dismissal of charges against the person, or by the entry on the record of a court by a prosecuting attorney of a nolle prosequi. May include but not limited to: offense and supplemental offense reports; investigation reports and notes; witness statements; latent fingerprints; results of chemical analysis and polygraph tests; crime scene, mug shot, and other photographs; laboratory reports; citations; affidavits; criminal process; victim impact statements; and other records relating and customary to the investigation of criminal offenses or other violations of state law or local ordinance.		50					CAUTION: Records of cases not cleared must be retained until the statute of limitations has expired. CAUTION: For retention of juvenile case files, consult Family Code 58.264(b). NOTE: Records may be destroyed upon the death of the individual, if known.	
UPS540		Offense Investigation - cases not cleared		AC				AC = Until the statute of limitations has expired.		Expiration of the statute of limitations	By law – Code of Criminal Procedure, Chapter 12. PS4125-05a.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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CE – Calendar year end

FE – Fiscal year end
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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

135 of 216

1. Agency Code:		2. Agency Name:									
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UPS560	16.3.044	Police Audiovisual Recordings	Audiovisual recordings, including those from police vehicles, body worn cameras, or digital cameras, of persons detained for possible Driving While Intoxicated (DWI) or other violations.	AC			90	AC = Date of the stop, investigation is complete, or criminal matters have been adjudicated, whichever longer.		<p>CAUTION: A recording created with a body worn camera and documenting an incident that involves the use of deadly force by a peace officer or that is otherwise related to an administrative or criminal investigation of an officer may not be deleted, destroyed, or released to the public until all criminal matters have been finally adjudicated and all related administrative investigations have concluded.</p> <p>CAUTION: For retention of juvenile recordings, see Family Code 54.012.</p> <p>The disposal of police audiovisual recordings need not be documented on a disposition log, but institutions should establish procedures governing disposal of these records as part of its records management plan.</p>	Code of Criminal Procedure, art. 2.135-2(b).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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FE – Fiscal year end
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US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
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136 of 216

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USP570		Evidence Tags	Identification tags indicating information about the evidence, including chain of custody.	AC				AC = return of evidence to the rightful owner (when allowed); forfeit evidence for use by law enforcement agency / court; or evidence destroyed (when allowed).			Chapter 18 of the Code of Criminal Procedure.
UPS610		Stolen Property Records (TCIC/TLETS)		AV							Local Schedule PS 4175-12.
UPS615	16.3.027	Campus Security and Incident Reports (no crime/no arrest) (Clery Act)	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.		7					CAUTION: See UPS122 for reporting of all incidents required by the Clery Act [16.3.011]. All calls, reports and complaints must be reviewed for Clery purposes, thus retention is based on Clery Act requirements.	
UPS617	16.3.009	Child Abuse Reports (Clery Act)	Copies of child abuse reports received by a law enforcement agency pursuant to Family Code, Sections 261.103 and 261.105, which do not become part of arrest and offense investigation records.		7					All calls, reports and complaints must be reviewed for Clery purposes, thus retention is based on Clery Act requirements.	
UPS620	16.3.051	Warning Citations	Warning citations issued for violations of motor vehicle laws or for those violations of the penal code (e.g., criminal trespass) in which the issuance of warning citations is customary.	AV						See VCL510 for parking citations [16.3.039].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

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137 of 216

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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UPS630	16.3	Accident Reports	Reports documenting facts and observations related to an accident.	AV						Send originals to TXDOT. If an arrest is made, retain copy with the arrest/offense file for the appropriate retention period of those records.	PS4150-01.
UPS640	16.3.017	Death in Custody Reports	Reports submitted by the director of a law enforcement agency to the Attorney General concerning the deaths of persons while in the custody of a peace officer.		3						Code of Criminal Procedure, 49.18.
UPS650	16.3.023	Field Interrogation Reports	Reports on persons stopped and interrogated in the field because of suspicious behavior.	AV							
UPS660	16.3.033	Missing and Unidentified Persons Files	Reports on missing children and adults, requests for investigation, photographs, fingerprints, dental records, X-rays, notifications of possible match, and similar documents relating to the location of missing children and adults, including similar records relating to unidentified bodies.	AC	3			AC = Date person located or body identified.			



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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138 of 216

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UPS670	16.1	Emergency Detention Orders	Records related to detentions places on individuals going through a mental health crisis. A 48-hour hold may be placed for mental health evaluation and/or medical stabilization. Typical Records Include: Medial records (used for evaluation), memorandums of transfer from either emergency rooms or the student health center to an inpatient stabilization facility.	AC				AC = 7 years after termination of services with client, or until client reaches 21 years of age, whichever greater.			22 TAC 165.1(b).
UPS710	16.3.048	Special Watch Records / Facilities Access Logs	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							
UPS715	16.3.034	Mug Shots / Mug Books	Photographs or mug shots of known offenders used by crime victims or witnesses for identification, other than those maintained in arrest records and offense investigations.	AV							



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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139 of 216

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UPS720	16.3.015	Criminal Intelligence and Analysis Files	Records created and maintained to anticipate, prevent, or monitor possible criminal activity, including crime pattern, crime analysis, and modus operandi reports; forecasts; evaluation reports; investigation recommendations; reports on movements of known offenders; information on confidential informants; and messages and alerts from other agencies.	AV						CAUTION: Information compiled by a law enforcement agency concerning criminal combinations or criminal street gangs must be destroyed after 5 years if it meets certain criteria under Code of Criminal Procedure, 67.151(b).	Code of Criminal Procedure, 67.151(b).
UPS730	16.3.024	Fingerprint Records - Other	Fingerprint records other than those maintained in arrest records and offense investigations.	AV						For fingerprints collected during an investigation or arrest, see UPS515 Arrest Reports [16.3.002], UPS660 Missing and Unidentified Persons Files [16.3.033], UPS525 Office Records Class A and B Misdemeanors and State Jail Felonies [16.3.035], UPS535 Office Records - First-Degree and Capital Felonies [16.3.037], and UPS530 Office Records - Second- and Third-Degree Felonies and DWI Offenses [16.3.038].	
UPS732	16.3.008	Chemical Breath Test Records	Logs, test records, operational check lists, and similar records relating to the administration of chemical breath tests or breathalyzer.		2						



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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140 of 216

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UPS734	16.3.046	Polygraph Examination Records	Polygraph charts, question sheets, reports of examination results, data sheets, films, audio and video of examinations, opinions from the examiner from chart analysis, and other records pertinent to a polygraph examination.		2					CAUTION: If a report of the results of a polygraph examination is placed in offense investigation records, it must be retained for the retention period for those records. See PER170 for polygraphs related to employee selection [3.1.043].	By regulation - 16 TAC §88.79(a).
UPS736		Concealed Handgun Permit List		US						Until superseded or obsolete. PS4175-18b.	
UPS738	16.3.041	Pawn Shop Tickets	Information supplied by pawn shops and sent to law enforcement. Includes individual receipts or lists of items pawned.	AV							
UPS740	16.3.028	Law Enforcement Information Dissemination, Inquiry, And Receipt Records (includes Wanted Persons Files)	Reports, logs, and other records pertinent to documenting the dissemination and receipt of criminal histories and dissemination of other information to law enforcement or other agencies through crime information networks (e.g., Texas Crime Information Center [TCIC], National Crime Information Center [NCIC]).	AV						CAUTION: Departments other than campus law enforcement see PER210 for criminal history checks [3.1.026].	Includes URRS 16.3.050 Wanted Persons Files. CAUTION: Departments other than campus law enforcement see PER210 Criminal History Checks [3.1.026].
UPS750	16.3	Emergency Protective Order Lists	Periodic lists of persons under protective orders.	US						PS4175-16c.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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R/O – Review by State/University Archivist
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141 of 216

1. Agency Code:		2. Agency Name:									
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UPS752	16.3.020	Emergency Protective Orders	Emergency protective orders issued by magistrates.	AC				AC = Period that the order is effective.		PS4175-16a.	Family Code, 85.025, Code of Criminal Procedure, 17.292(j).
UPS800	16.3	Campus Fire Statistics - Annual Fire Safety Report (Clery Act)	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.		7				O	Clery Act requires this information.	34 CFR 668.49.
UPS804	16.3.005	Campus Fire Log and Statistics (Clery Act)	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 on-campus student housing facility.		7					Clery Act requires this information.	34 CFR 668.49(c)(1).
UPS810		Fire Alarm and Drill Records (Clery Act)			7					Clery Act requires this information.	
ICA100		Equity Athletics Disclosure Act (EADA) Records		AC	6			AC = Submission of the report.		No required retention period. NCAA relies solely on institutional retention policies; it does not set retention requirements.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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142 of 216

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ICA110	18.2.005	NCAA and NAIA Reporting Requirements	Records required to be produced and reported to the National Collegiate Athletic Association (NCAA) and National Association of Intercollegiate Athletics (NAIA). May include but not limited to: documentation of admissions, financial aid, eligibility, or academic performance; graduation success; assessments; insurance certifications; recruiting activities; training and practice schedules; game day totals and ticket sales; student athlete accommodations; drug testing consent forms; student athlete statements; injury and medical surveillance; reporting on individual athletes; and documentation of compliance with rules.		6					See ICA400 for individual athlete files [18.2.014].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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143 of 216

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ICA200	18.2.018	Recruiting Records—Athletics	Recruitment of athletes into the institution's intercollegiate athletics program. The series also provides a record of the recruitment process for prospective players created by the institution to comply with NCAA, NAIA and conference rules and regulations. May include but not limited to: the institution's football questionnaire forms with personal, scholastic, football, general, and transcript release information; information request cover sheets; grade transcripts; Information for Certification of NCAA Freshman Athletics Eligibility Compliance; letters of intent; copies of admissions forms and materials; and ongoing performance and eligibility reports.	AC	5			AC = End of eligibility.			
ICA250		Student Athletes Dining Rosters			2						



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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144 of 216

1. Agency Code:		2. Agency Name:									
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					Years	Months	Days				
ICA310		Student Athletes Academic Advising Records		AC	7			AC = (a) not less than seven (7) years after the date of the completion of the award period; (b) the date of the receipt of the institution's final claim for payment of final expenditure report; or (c) until a resolution of all billing questions in connection with the account has been resolved, whichever is later.		Student advising files now serve multiple administrative purposes, including supporting financial aid and NCAA audits. SEE item SFA520 for records related to Financial Aid.	19 TAC §22.4 (2018).
ICA320		Athletic Scholarship and Grant-In-Aid Award Records - NCAA Records			10					See SFA520 for records related to Financial Aid.	
ICA325		Athletic Scholarship and Grant-In-Aid Award Records - All records except NCAA		AC	7			AC = (a) not less than seven (7) years after the date of the completion of the award period; (b) the date of the receipt of the institution's final claim for payment of final expenditure report; or (c) until a resolution of all billing questions in connection with the account has been resolved, whichever is later.		See SFA520 for records related to Financial Aid	19 TAC §22.4 (2018).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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145 of 216

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ICA400	18.2.014	Individual Athlete Records	Athletic history of each athlete who has competed at the institution. Frequently, this series is a continuation of the recruitment file and includes recruitment records if an athlete signs a letter of intent. May include but not limited to: academic major information, including performance reports; admissions verification reports; academic transcripts; financial aid information; recruitment information documents; medical and injury reports; media articles; photographs; release of information forms; personal data questionnaires; and records of awards.	AC	5			AC = Date of separation from the institution.	O	ARCHIVES NOTE: Only public profile records are subject to archival review. Confidential information should be removed or redacted upon archival transfer.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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146 of 216

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ICA410	18.2.005	Student Athletes Medical Records	This series documents the medical history of each athlete before and during his/her attendance at the institution. This series may include but is not limited to: annual health appraisals; authorization to release information forms; treatment consent forms; assumption of risk forms; accident reports; X-rays and X-ray reports; prescription records; off campus treatment source records; insurance questionnaires; psychological counseling records; and related documentation and correspondence.	AC	7			AC = Last date on which service was given or until the patient's 21st birthday, whichever later.		Because FERPA does not apply to these records, a student does not have a right of access but does have the right to have these records reviewed by a physician or other appropriate professional of the student's choice: 20 USC 1232g(a)(4)(B)(iv).	22 TAC 165.1(b).
ICA420	18.2.008	Student Athlete Drug Test Records—Positive Results		AC	5			AC = End of eligibility.			
ICA422	18.2.007	Student Athlete Drug Test Records—Negative Results	Negative results of drug testing done on student athletes, such as lab reports and interpretations.		1						
ICA430	16.1.025	Intercollegiate Athletic Insurance Records		AC	7			AC = Last date on which service was given or until the patient's 21st birthday, whichever later			22 TAC 165.1(b).
ICA440		Catastrophic Injury Insurance Records		AC	5			AC = Closure of claim			



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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147 of 216

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ICA500	18.2.012	Game Records and Statistics	Records documenting each game and the season for each sport by playing year. May include but not limited to: individual and seasonal game statistics; player statistics; attendance figures; player training charts; game schedules; game arrangements; special teams statistics; rankings; awards information; NAIA and NCAA game statistics; all-conference nominations; spring and fall camp depth charts; numerical rosters; narrative reports on games and scrimmages; final team statistics for each game; NAIA and NCAA official scoring summaries; play-by-play written reports.	AV						O ARCHIVES NOTE: Certain game records, including statistics, may possess long-term historical value and may warrant permanent retention by the institutional archives.	
ICA505	18.2.016	Play Books	Strategies and game plays for each game in the season.		5						
ICA510	18.2	Practice Schedule Records	This series is used to monitor practice time for athletic teams and assist in complying with NCAA and conference rules and regulations.		5						
ICA520	18.2	Game Arrangement Records	This series is used to provide a reference record of arrangements made for travel to away games.	AC	5			AC = End of sport season.			



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

148 of 216

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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ICA530	18.2	Competition Scheduling Records	This series documents competition schedules set up with other institutions by the NCAA, athletic conference, coaches and/or the athletic director.	AC	7			AC = Expiration of contract.			
ICA535	18.2.011	Game Officials' Evaluation Forms	Head coach's evaluation of judging officials' performance at games. The series is also used to comply with NCAA, NAIA, and conference rules and regulations. Information on the individual forms includes: team names; site; game date; judging officials' names; evaluative scores; comments; and coach's signature.		1						
ICA550	18.2.05	Competition Record - NCAA Reporting Requirements	This series provides a summary record of individual games and competitions and is used to comply with NCAA and NAIA reporting requirements for both revenue and non-revenue producing sports.		10						
ICA700	13.1.001	Game Day Totals	Document the control of ticket operations and distribution of tickets for athletic events, including ticket applications and sales, allocation of tickets, allocations for Away Games, stadium attendance, and related records. Includes control records for ticket stock and verification of unsold tickets.	FE	3					See FIN100 Accounts Receivable Information [4.1.009] for records of financial deposits or receipts.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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R/O – Review by State/University Archivist
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149 of 216

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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ICA705	13.1.001	Game Tickets and Ticket Orders	This series documents the sale and purchase of season passes and game day tickets, including extra game tickets, ticket orders, season pass order forms, and ticket stubs.	FE	3					See FIN100 Accounts Receivable Information [4.1.009] for records of financial deposits or receipts.	
ICA710	18.2	Ticket Sales and Event Cash Reconciliation Records - Athletics	This series documents the printing, selling, distribution, and accounting of tickets for university-sponsored athletic events where tickets are sold for admission. A portion of athletic event receipts is shared with visiting teams.	FE	5					CAUTION: Records should be kept in compliance with NCAA or NAIA requirements, as applicable.	
ICA740	18.2.019	Sports Merchandising Records	Administration of the sale of institutional and NCAA or NAIA-licensed merchandise at sporting events. May include but not limited to: sales reports; merchandise comment sheets; branding and promotion campaigns; and related merchandising working files.	FE	3					See FIN100 for accounts receivable records [4.1.009].	
ICA745		Concessions Sales Records		FE	3						
ICA750		Licensing Agreements	Lease or licensing of university trademarks for the sale of institutional and NCAA-licensed merchandise at sporting events	AC	7			AC = Termination of the agreement.		See LEG200 Trademarks Licensing Records and LEG400 Contracts and Licensing Agreements, per General Counsel.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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R/O – Review by State/University Archivist
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150 of 216

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SFA100	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).
SFA340	15.3.026	Perkins Original Promissory Notes	Promissory notes for student loans negotiated for the current academic year.	AC				AC = Until loan is satisfied or documents are needed to enforce obligation.		CAUTION: If original promissory notes are electronically signed, the signed master promissory note (MPN) must be kept 3 years after all the loans made on the MPN are satisfied.	34 CFR 674.19(e)(4).
SFA420	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 STU520 [15.2.017] for Hazlewood Act records.	
SFA425	15.3.028	Tuition Rebate Documentation	Tuition rebate forms and any supporting documentation pertaining to a college tuition rebate program.	AC	5			AC = Graduation or date of last attendance.			Texas Education Code, 54.0065.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

151 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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SFA600	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 SFA750 [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).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

152 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
SFA605	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 SFA640 [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).
SFA640	15.3.005	Financial Aid Application and Award Records - Health Profession and Nursing Student Loan Programs	Approved student applications; documentation of financial aid; financial aid transcript; student's name, address, academic standing, and period of attendance; and loan and tuition details.	AC	5			AC = Termination of enrollment.		CAUTION: May include obsolete Health Education Assistance Loans (HEAL).	42 CFR 57.215(b), 42 CFR 57.315(a)(2), 42 CFR 60.56(b).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
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FE – Fiscal year end
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PM – Permanent
US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

153 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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SFA690	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.			
SFA700	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 exit interviews; records of contacts concerning overdue loans; and correspondence between the university and the borrower, collection agencies, and credit bureaus.	AC	3			AC = Date of final repayment or cancellation.		See SFA740 [15.3.018] for Health Profession and Nursing Student Loan program payments. See SFA340 [15.3.026] for Perkins Original Promissory Notes.	34 CFR 668.24(e), 34 CFR 674.19(e)(3), 34 CFR 682.610(a)(2).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

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154 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
SFA740	15.3.018	Financial Aid Disbursement and Repayment Records - Health Profession and Nursing Student Loan Programs	Disbursement and repayment records for health profession and nursing student loans. May include but not limited to: documentation of amount and date of each loan, payment dates, deferment documentation, and correspondence related to overdue and uncollectible loans.	AC	5			AC = Date of retirement of loan.		CAUTION: May include obsolete Health Education Assistance Loans (HEAL).	42 CFR 57.215(c), 42 CFR 57.315(a)(3).
SFA750	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.		VA records have an AC+3 retention. Financial Aid eligibility determined by data entered into the student information system.	38 CFR 21.4209(f).
SHC110		Operational Permits, Licenses, and Certifications		US						CAUTION: Institutions should ensure that they are keeping licenses for as long as required by the organization issuing the license.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

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155 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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SHC112	16.1.023	Medical Device Recall Notices and Responses	United States Food and Drug Administration (FDA), Safe Medical Devices Act (SMDA) and manufacturer recalls on all medical, food and drug devices. May include but not limited to: reportable occurrences on devices, recalls through the manufacturer, and responses by institutional departments.	AC	2			AC = Life of device (device no longer in use, has been explanted, returned to the manufacturer, or patient has died).			21 CFR 806.20(c), 21 CFR 821.60.
SHC115	16.1.035	Quality Assurance Records—Health Services	Quality assurance records such as documentation of equipment monitoring; checks of quality control items, and any necessary corrections; reports by the staff; quality assurance committee notes; Morbidity & Mortality (M&M) conferences for residents; chart reviews; and staff reviews.		2					CAUTION: Federal or state regulations may require longer retention periods for specific health quality assurance reports.	
SHC120	16.1.009	HIPAA Documentation and Disclosure	Documentation required of by the Health Insurance Portability and Accountability Act of 1996 (HIPAA), including policies, procedures, and compliance efforts as well as documents related to the disclosure of Protected Health Information (PHI).	AC	6			AC = Date of creation or date when last in effect, whichever is later.			45 CFR 164.528(b)(1), 45 CFR 164.530(j).
SHC130		Medical Waste Management			3					See TCEQ Regulatory Guidance, August 2007: Texas Regulations on Medical Waste.	30 TAC 330.1004(h)(4).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
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Archival Codes (Field 10)

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156 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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SHC140		Documentation of Meningitis Education			2						Texas Education Code Chapter 51.Z, §51.9191€.
SHC150		Healthcare Incident Reports	Investigative reports documenting an unexpected occurrence during a patient health care encounter that results in either a near miss, which indicates no patient harm due to timely intervention, or results in unintended harm to a patient.	CE	3						TAC 22 Chapter 11 §217.16.
SHC160		Nurse Peer Review Programs		CE	3						TAC 22 Chapter 11 §217.16.
SHC161		Tracking of Nurse Errors			1						1.1.069 (Activity Reports); TAC 22 Chapter 11 §217.19(a)(7).
SHC170	16.1.007	Continuing Medical Education (CME) Class Records	Records required for accreditation and administration of Continuing Medical Education (CME), Continuing Dental Education (CDE), and Continuing Nursing Education (CNE) training courses or programs, including activity and attendance records.		6					See SCE100 for all other continuing education records [17.1.006].	Accreditation Council for Continuing Medical Education (ACCME).



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
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US – Until Superseded

Archival Codes (Field 10)

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R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

157 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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SHC200	16.1.024	Medical Logs	Log of patients visiting the health institution (both inpatients and outpatients) and patient encounters. The log may be used to create annual census reports and 3-year census comparisons, and it may include the date and time that the patient came in; appointment; admission; transport; dispatch; the physician assigned; diagnosis; discharge; patient photo; patient service; length of stay; remarks; case logs, and other medical logs.		3						
SHC210	1.1.057	Patient Encounter Forms	Documents each patient visit to the Student Health Center. Coding is standardized internationally, to ensure that each provider and each insurer defines procedures and services for payment in exactly the same way.	AC	1			AC = Entry into database.			
SHC212	16.1.016	Health Assessment	Health assessment and screening records performed outside of regular treatment facilities and not entered into patient medical records (e.g., cholesterol screening, blood pressure testing, etc.).	AV						See SHC122 for disclosures of protected health information (PHI) [16.1.009].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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CE – Calendar year end

FE – Fiscal year end
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PM – Permanent
US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
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158 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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SHC214		Student Health History Forms	This series documents a student's medical history. The series contains student medical history forms for students who have never visited an institution's student health center and therefore do not have a medical record on file. These forms are a prerequisite for enrollment at most institutions.	AC	3			AC = Graduation or date of last attendance.			
SHC220	16.1.026	Medical Records - Student Health Clinic	Medical services history provided for students treated by the student health center. May include but not limited to: appointment requests; summary sheets; copies of test results; treatment record forms; diagnoses; screenings; initial evaluations and assessments; referrals; health center billing statements; personal health histories; dental examinations; physical therapy notes; releases; notes; and memoranda.	AC	10			AC = termination of services with client, or client reaches 21 years of age, whichever greater.		CAUTION: For records documenting forensic sexual assault exams, records must be retained for 20 years, per Health and Safety Code 241.1031. CAUTION: Student athlete medical records may have additional requirements per NCAA rules. See ICA110 [18.2.005]. See SSV100 for mental health, counseling, and psychotherapy records [16.1.008]. See SCH225 for medical source data [16.1.038].	22 TAC 165.1(b). TXST insurance carrier requires AC+10 retention.



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)

A/I – Transfer to State/University Archivist

R/O – Review by State/University Archivist

E – Exempt from archival review and transfer

159 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
SCH225	16.1.038	Medical Source Data	Medical source data and health information stored in any original media. May include but not limited to: paper diagnostic tests or tools; X-rays; videotapes; ultrasounds; fetal monitor strips; photographs (either conventional photos or digital images); EKG strips; and ancillary or supporting systems (e.g., pharmacy information systems and radiation oncology information systems). Source data is distinct from the written interpretations of significant clinical information that has been forwarded to the medical record.		5					CAUTION: Some source data, such as fetal monitoring strips or mammography images, may need to be kept longer. See SCH220 for information transcribed in medical records [16.1.026].	42 CFR 482.26(d)(2).
SCH230	1.1.069	Patient Records Pick-up Log			1						



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

160 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
SHC240	16.1.038	Medical Source Data	Medical source data and health information stored in any original media. May include but not limited to: paper diagnostic tests or tools; X-rays; videotapes; ultrasounds; fetal monitor strips; photographs (either conventional photos or digital images); EKG strips; and ancillary or supporting systems (e.g., pharmacy information systems and radiation oncology information systems). Source data is distinct from the written interpretations of significant clinical information that has been forwarded to the medical record.		5					CAUTION: Some source data, such as fetal monitoring strips or mammography images, may need to be kept longer. See RSIN 16.1.025 or 16.1.026 for information transcribed in medical records. Both the CFR and Local Schedule HR4800-25 state 5 year retention, so retention was adjusted accordingly.	42 CFR 482.26(d)(2).
SHC250	16.1.018	Immunization Record and Consent Forms	Signed consent forms and records noting the type of immunization performed which are not included in the patient's medical record.	AC				AC = 21st birthday for minors, or 10 years following end of calendar year in which the consent form was signed, whichever later.		CAUTION: For immunization reports required by the Texas Education Code and the Texas Health and Safety Code, USE item ADM330-Administrative Correspondence [1.1.007].	
SHC260	16.1.001	Abuse and Neglect Records	Documentation of abuse and/or neglect findings observed by medical staff during patient care. The findings may be incident/variance reports and evidence of child, domestic, elder, or other kinds of abuse.	AC				AC = 10 years after report date for adults, or 10 years after minor reaches the age of majority.		If related to Clery the relevant records are shared with Clery Act Compliance Officer (CACO).	Code of Criminal Procedure, 12.01.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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

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Archival Codes (Field 10)

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R/O – Review by State/University Archivist
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161 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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SCH265	16.1.002	Adverse Drug Event Records	Records related to adverse drug events or medical occurrences in patients and others served by the institution, excluding events taking place during a research study.		5					See RSP400 Research Data - Non-Funded Projects [17.3.012] and RSP410 Research Data - Funded Projects [17.3.013] for research data.	
SHC310	16.1	Laboratory - Test Requisitions	Test requisitions (for all specialties and subspecialties), as well as records of test performance, quality control, and work logs.		2						42 CFR 493.1105(1) and (3) – CLIA.
SHC315		Laboratory - Unclaimed Anonymous Lab Tests	Records related to anonymous lab testing, such as for HIV. The patient is given a unique number to obtain lab results. Because no personal identification is collected, it is not possible to file these into a patient file.		2						
SHC320		Laboratory - Slides - Hematology (differential) and all others			2						42 CFR 493.1105; CLIA (no retention requirements stated).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

162 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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SHC330	16.1.013	Final Laboratory Test Reports—Pathology, Cytology, Histopathology	Test results and preliminary reports specific to pathology, histology, and cytology testing. Documentation includes the test requisition plus the specimen's accession number, the date and time the lab received the specimen, the condition and disposition of samples which do not meet the lab's acceptance standards, and the records and dates of performance of each step in the patient testing leading to and including the final report.		10						42 CFR 493.1105(a)(6)(ii). 42 CFR 493.1105 (6) (CLIA); 42 CFR 493.1101.
SHC340		Laboratory - Proficiency Testing	Proficiency testing, including all records of test performance and results, for all specialties and subspecialties for which proficiency testing is required.		2						42 CFR 493.1105 (4) (CLIA).
SHC342	16.1.020	Laboratory Inspection Records—Calibration Records	In-house survey or calibration of laboratory equipment on a regular basis.		3					See EQS210 for calibration records of non-regulated equipment [5.2.005].	42 CFR 493.1105, 25 TAC 289.202(nn)(1).
SHC350	16.1.006	Communicable Disease Records	Communicable disease logs and reporting records. May include but not limited to: copies of laboratory test results; name and address of patient; date; and person making referral.		3					See SHC330 for other laboratory test results [16.1.013].	25 TAC 97.2.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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

FE – Fiscal year end
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PM – Permanent
US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

163 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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SHC400	16.1.031a	Pharmacy Records—Prescription and Inventory	Inventory, prescription slips, and other records of the purchase, acquisition, disposal, or dispensation of drugs and controlled substances as required by federal law and regulations, state law, and the rules of the Texas State Board of Pharmacy (TSBP).	AC	2			AC = The later of the date that the record was required to be created, the record was created, or the prescription was last filled.		CAUTION: See legal citations for special filing requirements for controlled substance and electronic prescriptions. See RSP337 for pharmacy records related to animal research [17.3.018].	21 CFR 1304.04(a), Health and Safety Code, 481.067(c) and 483.023, 22 TAC 291.75(a).
SHC402	16.1.031b	Pharmacy Records—Personnel Log	Pharmacy log of the unique initials or identification codes which identify pharmacy personnel by name.	AC	7			AC = Date of transaction.			22 TAC 291.75(e)(1).
SHC405	16.1.012	Drug Recall Notices	United States Food and Drug Administration (FDA) and manufacturer recalls on drugs. May include but not limited to: reportable occurrences of drug use; recalls through the manufacturer; and responses by departments.	AC				AC = 5 years after the records of manufacture have been completed or six months after the latest expiration date for the individual product, whichever later.			21 CFR 600.12, 21 CFR 7.59(c).
SHC410		Prescription File		AC	2			AC = The later of the date that the record was required to be created, the record was actually created, or the prescription was last filled.		CAUTION: Refer to SHC400 for inventory and other drug administration records [16.1.031a].	21 CFR 1304.04; Health and Safety Code, Section 481.075(i)(2) and Section 483.023; 37 TAC 13.207 21 CFR 1304.04; URRS 188
SHC420		Drug Destruction Records		FE	3						22 TAC 15 §303.3; Texas Department of State Health Services RRS.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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

FE – Fiscal year end
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US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

164 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
SHC430		Prescription File - Controlled or Dangerous Drugs		AC	2			AC = The later of the date that the record was required to be created, the record was actually created, or the prescription was last filled.		CAUTION: By federal regulation, paper prescriptions for Schedule II controlled substances shall be maintained in a separate prescription file. Paper prescriptions for Schedules III, IV, and V controlled substances shall be maintained either in a separate prescription file for Schedules III, IV, and V controlled substances only or in such form that they are readily retrievable from the other prescription records of the pharmacy. Electronic records must be readily retrievable at the registered location if requested by the Drug Enforcement Administration (DEA) or other law enforcement agent. An electronic application storing prescription data must be capable of printing out or transferring the records in a format that is readily understandable to a DEA or other law enforcement agent at the registered location. Electronic copies of prescription records must be sortable by prescriber name, patient name, drug dispensed, and date filled.	Health and Safety Code 483.023; 21 CFR 1304.04.
SHC440		Pseudoephedrine Sales Logs			2					Combat Methamphetamine Epidemic Act of 2005	
SHC450	1.1.069	Prescription Pick-Up Log			1						



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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

FE – Fiscal year end
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PM – Permanent
US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

165 of 216

1. Agency Code:			2. Agency Name:								
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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SHC500	16.1.040	Student Health Insurance Records	University copies of information relating to the selection by students of health insurance offered to students through the university.	AC				AC = Until superseded or date of last attendance.			
SHC510	4.1.009	Student Insurance Billing Documents	This series documents the process of billing student insurance company(ies) for services provided.	FE	3						
SHC520	4.1.009	Student Insurance Reports	Reconciliation reports, used to reconcile health insurance waivers with International student account and used to determine premium amount to request. International Student SHIP Enrollment Report, a list of students who have been charged the health insurance fee and did not request a waiver and their demographic information.	FE	3						
SHC530		Student Health Insurance Waivers		AC	1			AC=end of semester for which the waiver applies.		Retention note: These are not billing or financial records. These are requests for health insurance waivers from international students on non-immigrant visas, as outlined by UPPS 07.09.04. Waivers are requested each semester.	University policy: UPPS 07.09.04



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
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PM – Permanent
US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

166 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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SHO100	16.4.005	Student Housing Tenant Records	Records of occupancy in all institution administered housing: residence halls, family housing, or cooperative housing. May include but not limited to: housing applications; proof of admission records; rosters; and related documentation.	AC	7			AC = End of student's occupancy or, for contracts, expiration of contract.		See SHO110 Non-Student Summer Reservations, and LEG400a and LEG400b Contract Administration for housing contracts [5.1.001a/b].	
SHO110	5.1.001a	Non-Student Summer Reservations		AC	7			AC = Expiration of contract.		See STU410 Non-University Student Records [16.5.009].	
SHO150	16.4.003	Student Housing Applications - Denied/Not Assigned	Applications and selection decision documentation for applications that do not result in occupancy. May also include consumer reports and authorizations to obtain credit information.	AC	1			AC = End of application term.		CAUTION: If the institution obtains credit report information, then records created under this series must be retained 5 years beyond the application term. Fair Credit Reporting Act (FCRA), 15 USC 1681p. See SHO100 Student Housing Tenant Records [16.4.005] for applications that do result in occupancy.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
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Archival Codes (Field 10)

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167 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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SHO200	16.4.004	Student Housing Judicial Files (Clery Act)	Resident applications to appeal penalties received after violating the terms of their student housing or food service contracts, and decisions made on such appeals.	AC	7			AC = Expiration of contract or resolution of incident, whichever is later.		See SAP410 for incidents that result in disciplinary action [15.5.007]. See UPS615 for incidents referred to law enforcement [16.3.027]. Monthly reports sent to Clery Act Compliance Officer (CACO) of violations, but DHRL records must be kept for the full retention period as they are the office of record and maintain the complete file.	
SHO600	16.4.002	Menus	Approved dining menus for each food service location.	AV						CAUTION: If menu's primary function is providing a price list, retain according to SVC150 Charge Schedules/Price Lists [5.1.012].	
SHO650	16.4.001	Alcoholic Beverage Control Records	Annual and temporary event licensing for dispensing and serving alcoholic beverages. May include but not limited to: alcohol use requests or waivers; applications for event licenses or permits; and related documentation.	AC	3			AC = Date of event or revocation of license, as applicable.		See SVC505 Permit and License Issuance for other permits and licenses issued by the university [11.1.010].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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168 of 216

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SLI100	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		
SLI200	18.1	Student Publications and Performances	Records of student publications, such as the University Star, and student-led public performances, such as plays, debates, musicals, and concerts.	AC	3			AC = End of semester for rosters, lists, events, and minutes. When superseded for by-laws and governing documents.	O	These records provide documentation about student life and may have historical value to the university.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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169 of 216

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SRR100	15.5.005	Recruitment Records - Individual Students	This series documents effort of the institutional units to recruit individual students based upon disadvantaged status, academic performance, and other criteria.	AC	1			AC = End of application term.		CAUTION: Does not include records of recruitment of athletes into the institution's intercollegiate athletics program, refer to ICA200 - Recruiting Records [18.2.018]. See SSV200 Job Fairs and External Recruiter Records [16.5.010].	
SSR110	15.5.005	Recruitment Records - Departments and Programs	This series documents effort of the institutional units to recruit students based upon disadvantaged status, academic performance, and other criteria.	AC	1					CAUTION: For recruitment of individual students, refer to SSR100. For recruitment of athletes into the institution's intercollegiate athletics program, refer to ICA200. Use ADM610 Performance Measures Documentation if tracked and reported as IE data.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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170 of 216

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SSV100	16.1.008	Client Records - ADA/Disability, Counseling, Psychological, and Psychiatric	Records for clients who are provided counseling, psychological, and/or psychiatric services by the institution's counseling and career centers. Also includes clients who receive assistance under the Americans with Disabilities Act (ADA), and Career Planning and Counseling Records, as these records often include medical and psychological case notes that may result in referrals to the counseling center. May include but not limited to: extensive notes made by providers concerning the assessment, diagnosis, treatment and contacts (written, telephone, or in person) with each client; mental health records; therapy records; psychotherapy notes; referral letters; release of information agreements; and letters to agencies or others concerning clients.	AC				AC = 7 years after termination of services with client, or 5 years after client reaches age of majority, whichever greater.		CAUTION: Follow professional licensing board rules if they require longer retention. CAUTION: Student athlete medical records may have additional requirements per NCAA rules. See ICA110 [18.2.005]. See SHC220 for medical records [16.1.026].	TAC Rule 465.22 (d)(2); 5 CFR 164.501.
SSV110		Client Records - Medical Records	Includes programs such as Physical Therapy	AC	7			AC = Last contact with client (or retain until client reaches age 21, whichever is longer).		CAUTION: For patients less than 18 years of age when last treated, the records must be retained until the patient reaches age 21 or for seven years from the date of last treatment, whichever is longer.	TAC Rule 465.22 (d)(2).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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171 of 216

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SSV120	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 = Request denied or cessation of services, as applicable.		See SSV100 for counseling records [16.1.008]. See PER219 for employee accommodation requests [3.1.042].	
SSV150		Client Records - Non-Medical Health Services	This series documents provision of health-related services to clients on an outpatient basis by offices other than the student health center. Includes client records for evaluation, therapy and diagnostic services. Includes speech therapy and audiology services.	AC	7			AC = Last contact with client (or retain until client reaches age 21, whichever is longer).		CAUTION: For patients less than 18 years of age when last treated, the records must be retained until the patient reaches age 21 or for seven years from the date of last treatment, whichever is longer.	22 TAC 165.
SSV155	16.1.016	Client Records - Health Assessments	This series documents provision of health-related services, for example: cholesterol screening, blood pressure testing, etc.		2					See SCH120 HiPAA Documentation and Disclosure [16.1.009] for disclosures of protected health information (PHI).	
SSV200	16.5.010	Job Fairs and 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 ADV300 Public Relations Records for marketing materials [1.1.019]. See SRR100 for university student recruitment [15.5.005].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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172 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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SSV210	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.			
SSV250		Job Shadowing Program		AC	2			AC = End of the semester in which the job shadowing took place; or 2 years after the student turns 18, whichever is longer.			Per Legal Counsel: The statute of limitations for personal injuries is 2 years.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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173 of 216

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SSV300	3.1.039	Ombudsman Records - Student	Records related to assisting students in achieving satisfactory resolutions to university related challenges (i.e. university instructor/professor, employer challenges...etc.). Additionally, the Dean of Students Office makes referrals to appropriate campus departments/offices when necessary.	AC				AC = Final decision or matter closed.		CAUTION: Does not include formal complaint filed with EEO. 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 LEG610 Litigation Files, PER260 Employee Counseling Records, PER250 Employee Grievance Records, PER270 Employee/Personnel Corrective Action Documentation, and PER285 Employee/Personnel Disciplinary Action Documentation.	
SSV400	1.1.078	Recreation – Facility/Program Membership Forms	Facility and/or program membership forms, which provide basic information about an individual who intends to participate in services offered by campus recreation.	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 RSK162 Accident Reports - Adults / RSK162 Accident Reports - Minors [5.4.014a/b].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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174 of 216

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SSV410	1.1.069	Recreation – Attendance and Use Logs	Sign-in sheets and/or logs that document attendance at an event or use of facilities. May include logs of individuals who attend fitness classes, use workout facilities, or participate in other events or services offered through recreation departments.		1					CAUTION: If reports are used to document performance measures, see ADM610 - Performance Measures [1.1.064].	
SSV420	1.1.078	Recreation – Activity Release Forms	Release forms and/or waivers signed by participants in various recreational activities.	AC	3			AC = Conclusion of event, or end of the last semester in which an individual participated.		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 RSK150 Occupational Accident Reports [5.4.001] and RSK162 Accident Reports - Adults / RSK162 Accident Reports - Minors [5.4.014a/b].	
SSV500	16.5.008	Identification Card Administration Records	Images, application forms, or similar records documenting the issuance of identification cards to university students, staff, or faculty.	AC				AC = Until superseded or expired.		See ADM450 Security Access Records (IDs, Keys, Authorization Lists, etc.) for records documenting the issuance of keys, identification cards, or similar instruments of access to university facilities [5.4.012].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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175 of 216

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INT100	12.2.001	International Scholars Program Administration Records	International exchange visitor selection records, pre-arrival information provided to visitors, program orientation materials, and monitoring of visitors and their dependents.		3						22 CFR 62.10(g).
INT210	12.1.002	International Scholars Records - J-1 Exchange Visitor Files	Documentation of the short-term appointment of nonimmigrant international scholars as visiting faculty, specialists, researchers, and trainees. May include but not limited to: Form DS-2019, and related documentation such as: descriptions of work to be performed; methods of financial support; copies of passports; check-in forms; and telephone log sheets.	AC	3			AC = End of participation in program.			22 CFR 62.10(g).
INT220	12.1.003	International Scholars Records – Immigrant Petition File	Includes documentation of an institution's sponsorship of an applicant using United States Citizenship and Immigration Services (USCIS) Form I-140 (Immigrant Petition for Alien Worker).	AC	5			AC = Date applicant granted lawful permanent residence by USCIS or no longer employed by the institution, whichever earlier.			8 CFR 204.5.
INT230	12.1.005	International Scholars Records – Nonimmigrant Visa Petition File	Includes both internal documents and forms submitted and inspected by the U.S. Citizenship and Immigration Services (USCIS), including Form I-129, Petition for a Nonimmigrant Worker and related materials for H1-B, H-1B1, and E-3 visas.	AC	1			AC = Date individual no longer employed by the institution in sponsored nonimmigrant status or application is withdrawn			20 CFR 655.760(c), 8 USC 1184.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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176 of 216

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INT240	12.1	International Scholars Records – Nonimmigrant Visa Public Inspection File	This series documents the temporary employment of international exchange visitors (nonimmigrants) by the institution and is used to monitor compliance with federal United States Citizenship and Immigration Services (USCIS) regulations.	AC	1			AC = Last date the institution employs any individual in H-1B nonimmigrant status under the Labor Condition Application for which the Public Inspection File was created or, if no nonimmigrants were employed under the labor condition application, one year from the date the labor condition application expired or was withdrawn.			20 CFR 655.760(c).
INT250	12.1.004	International Scholars Records – Labor Certification (PERM)	Application and approval of international scholars for permanent immigrant status. May include but not limited to: Application for Permanent Employment Certifications (Department of Labor (DOL) Form ETA 9089); Application for Alien Employment Certification (DOL Form ETA 750); recruitment reports; copy of job advertisement in national professional journal; and wage determinations.	AC	5			AC = Date of filing.			20 CFR 656.10(f), 29 CFR 1602.49.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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177 of 216

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INT260	12.1.007	Tax Documentation for International Scholars	Tax documentation for international students' and scholars' acquisition of social security numbers. May include but not limited to: social security number applications; statements of information; photocopies of social security cards; and related documentation.	AC	3			AC = Date of application.			
SMS100		Admissions - Incomplete Applications		AC	1			AC = End of admission period / semester.			AACRAO Schedule A.
SMS200	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	7			AC = Graduation, date of last attendance, or separation from program, as applicable.		Records used to determine financial aid eligibility and must be retained (in Student Information System or elsewhere) for a minimum of 7 years. SEE item SMS300 for Admissions - International Students Enrolled. SEE item EDP220 for information held in the Student Information System [2.1.002]. CAUTION: International student academic records must be retained at least 1 year after final notice to USCIS.	8 CFR 214.3(g); 19 TAC §22.4 (2018).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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R/O – Review by State/University Archivist
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178 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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SMS250	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.		SEE record series listed under section INT for international students. CAUTION: International student academic records must be retained at least 1 year after final notice to USCIS.	AACRAO Schedule A.
SMS300		Admissions - International Students Enrolled		AC	7			AC = Graduation or date of last attendance.		CAUTION: Must be retained at least 1 year after final notice to Immigration and Naturalization Service. Records used to determine financial aid eligibility and must be retained (in Student Information System or elsewhere) for a minimum of 7 years. See EDP220 for information held in the SIS.	8 CFR 214.3(g); 22 CFR 62.10(h); Sec. 416 of the USA PATRIOT ACT; 19 TAC §22.4 (2018).
SMS350		Admissions - International Students Not Enrolled / Denied			2						AACRAO Schedule A.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

179 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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SMS400	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	7			AC = Graduation, or date of last attendance.		See SMS250 for residency classification forms submitted by applicants who did not enroll [15.1.002]. Records used to determine financial aid eligibility and must be retained (in Student Information System or elsewhere) for a minimum of 7 years.	Texas Education Code, 54.052.; 19 TAC §22.4 (2018).
STS100	15.1	National Exams - Scores (Entrance Exams)	National exams taken by students for the purpose of gaining entrance to the University and/or to various degree programs. These scores are sent to the University upon request of the student, including official score results from exams such as GMAT, MCAT, GRE, ACT, SAT, and various other exams.	AC	7			AC = Last attendance.		Records used to determine financial aid eligibility and must be retained (in Student Information System or elsewhere) for a minimum of 7 years.	19 TAC §22.4 (2018).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

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R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

180 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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STS200	15.1.006	Standardized 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 FIN100 Accounts Receivable Information for testing payment vouchers [4.1.009].	
STS300		State Required Academic Assessment Records (THEA: Texas Higher Education Assessment)		AC	7			AC = Student separation from the University.		Records used to determine financial aid eligibility and must be retained (in Student Information System or elsewhere) for a minimum of 7 years.	19 TAC §22.4 (2018).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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FE – Fiscal year end
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R/O – Review by State/University Archivist
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181 of 216

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STS400	15.2.002	Advance 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	7			AC = Graduation or date of last attendance.		Records used to determine financial aid eligibility and must be retained (in Student Information System or elsewhere) for a minimum of 7 years.	19 TAC §22.4 (2018).
STS405	15.2.003	Advance 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.			
STS500		Institutional Competency Exams		AC	5			AC = Date of last attendance.			AACRAO Schedule C.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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FE – Fiscal year end
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PM – Permanent
US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

182 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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CUR110	17.1.002	Catalogs / Bulletins	This series provides a record of institutional policies and procedures, program requirements, and course offerings and may also be used for constructing new courses or reconstructing old courses. Information in the individual catalogs and bulletins includes academic policies and procedures, program names and descriptions, course names and descriptions, alphanumeric course designations, credits offered per course, and related program and course information.	AC	2			AC = Until superseded or obsolete.	I		
CUR120	17.1.002	Schedule of Classes	Final published schedule of classes.	PM					O	AACRAO Schedule E.	
CUR121	17.1.003	Schedule of Classes 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						
CUR125	17.1.003	Course Schedule Maintenance Forms	Records documenting updates to the course schedule.		1						
CUR130	18.1	Student Handbooks		US	2				I		



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist

R/O – Review by State/University Archivist

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183 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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CUR200	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		



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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184 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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CUR205	17.1.012	Special Academic Programs Records - Policy and Program Development Records	This series documents the administrative activities of special academic programs serving and aiding institution students. Programs documented by this series range from special requirement and certification programs to programs aimed at assisting and encouraging target groups of institution students. Included are the National Student Exchange (NSE) program; English language programs; honors programs; minority scholars programs; minority student recruitment programs; disabled student programs; non-traditional student programs; educational opportunities programs; older than average student programs; Native American science programs; study abroad programs; and other special academic programs.	AC				AC = Termination of program.	O		
CUR207	17.1	Special Academic Programs Records - Working Files	Working files related to administrative activities of special academic programs serving and aiding institution students. Programs documented by this series range from special requirement and certification programs to programs aimed at assisting and encouraging target groups of institution students.		7						



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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185 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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CUR210	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					O	AC = Termination of degree program.	
CUR220		Curriculum Development Files (Course and Program)		AC	10			AC = When the course, program, or certificate is ceased.	I	Local Schedule JC 3900-01.	
CUR225	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							



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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186 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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CUR230	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 SAD400 (tenure track) and SAD450 (non-tenure track) for course evaluations [17.1.019 and 17.1.018].	Texas Education Code, 51.974.
CUR240	15.2	Course Records - Faculty Workload Reports		AC	2			AC = End of semester.			
CUR250	1.1	Fee Assessment Forms	This series documents the payment of fees for lab fees, diplomas, commencement exercises, etc.	AC	5			AC = Graduation or date of last attendance.			
CUR400	1.1.064	Academic Program Reviews (APR)	Academic Program Reviews (APR), as undertaken by each academic department on a 7-year rotating basis. These records are used for institutional assessment.		7					Internal policy stating frequency of review cycle changes; retain until new APR approved. Final reports have long-term historical value as they document the history of the program.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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187 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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SAD100	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.	
SAD120	15.1.002	Applications for Admissions to Program - Not Enrolled/Denied	This series includes applications for admission to programs with admissions requirements separate and beyond those of the institution.	AC	1			AC = End of application term.		CAUTION: Not to be used for records of admissions to the institution. SEE series SMS for institutional admissions.	
SAD130	15.2.021	Internship Applications - Not Enrolled / Denied	Applications for internship programs for which student was denied or did not enroll.	AC	1			AC = end of academic term in which internship occurred.		See SAD132 for other internship program records [15.2.022].	
SAD132	15.2.022	Internship Program Records	Administration of student internship, practicum, and cooperative education programs. May include but not limited to: applications for internships inside and external to the institution; agreements with departments; postings/notices; student resumes; and proposed institution listings.	AC	5			AC = End of academic term in which internship occurred.		See SAD130 for internship applications for which student was denied or did not enroll [15.2.021]. Retention set to meet requirements for accredited programs. NOTE: Information related to sites should be sent to Clery Act Compliance Officer (CACO) on semester basis for Clery geography determination. CACO will maintain for the full retention period required by the Clery Act.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

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R/O – Review by State/University Archivist
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188 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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SAD135	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.		Provost: University policy states that students have 2 years to contest a grade.	
SAD150	17.1	Classroom Scheduling Records	This series documents room assignments for classes offered during regular terms or during the summer session.	AC	7			AC = End of semester.		Information related to sites should be sent to Clery Act Compliance Officer (CACO) on semester basis for Clery geography determination. CACO will maintain for 7 yrs. Local Schedule JC 3900-06.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
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189 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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SAD200	15.2.013	Student Coursework	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	2			AC = End of semester.		Provost: University policy states that students have 2 years to contest a grade. CAUTION: Coursework under dispute may not be destroyed until the resolution of the dispute. See SAD505 Student Information Files [15.2.009] for graduate student qualifying examinations. See SAD300 for grade books [15.2.011]. See SAP340 for theses and dissertations [15.2.030].	
SAD300	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	2			AC = End of semester.		Recommendation of Provost - students have 2 years to contest a grade. See SAP120 Final Grade Rosters for official Registrar copies of grades [15.2.012]. See SAD300 for grade book [15.2.011].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
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190 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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SAD350		Request for Change of Final Grade/Appeals	Written requests and appeals that originate in academic departments to change a student grade. This request may (or may not) result in a Change of Grade Form.	AC	1			AC = Decision on the request		These requests/appeals are exempt from destruction request requirement. See SAP130 for Change of Grade forms. TSLAC Local Schedule JC 3725-06(d).	
SAD400	17.1.019	Course & Faculty Evaluations (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.		8					Texas State tenure-track faculty are on a 6-year tenure review cycle; evaluation records should be held for 2 years after the tenure decision is made. See PER410 for employee performance appraisals [3.1.019].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
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191 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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SAD450	17.1.018	Course & Faculty Evaluations (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 PER410 for employee performance appraisals [3.1.019].	
SAD505	15.2.009	Student Information Files - Departmental/Program - Graduated	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	7			AC = Student graduation date		Records used to determine financial aid eligibility and must be retained (in Student Information System or elsewhere) for a minimum of 7 years. See item SAD500 for student advising records [15.2.026]. CAUTION: International student academic records must be retained at least 1 year after final notice to USCIS. See SAP410 for disciplinary action records [15.5.007].	19 TAC §22.4 (2018).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

192 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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SAD510	15.2.009	Student Information Files - Departmental/Program - Intermittent Students	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	7			AC = When the department/program determines that the student is no longer a viable candidate for continuing their education, but at least 7 years after last attendance.		Requested by departments to support students who take longer than the standard 4-year period to complete their degree. Records are used to determine financial aid eligibility. Records for graduated students move to SAD505. See item SAD500 for student advising files. CAUTION: International student academic records must be retained at least 1 year after final notice to USCIS. See RSIN 15.2.026 for student advising records. 19 TAC §22.4 (2018). See RSIN 15.5.007 for disciplinary action records.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
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193 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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SAD600		Student Teaching - Application File		AC	5			AC = End of semester in which the student completed the Student Teaching exercise.		Information related to sites should be sent to Clery Act Compliance Officer (CACO) on semester basis for Clery geography determination. Clery Act Compliance Officer (CACO) will maintain for 7 yrs.	
SAD650		Student Teaching - Final evaluations and Certification Recommendation			5						
SAP100	15.2.032	Academic Records / 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				Records are permanent and require preservation and vital record protection.			AACRAO Schedule C.
SAP120	15.2.012	Final Grade Rosters	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				Records are permanent and require preservation and vital record protection.		CAUTION: This retention period applies to records of the Registrar. See SAD300 Faculty Grade Book for departmental copies of grade sheets [15.2.011].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

194 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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SAP130	15.2.012	Grade Change Records	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.	PM						Academic departments may dispose of departmental copies AC+2, where AC = end of semester in which the course was completed. Registrar's records are permanent and require preservation. CAUTION: The PM retention period applies to records held by the Registrar. See SAD300 Faculty Grade Book for departmental copies of grade sheets [15.2.011].	AACRAO Schedule C.
SAP140		Enrollment Correction Appeals	Changes to the initial enrollment lists; traditionally, these corrections are added to the Final Grade Roster.	PM				Records are permanent and require preservation and vital record protection.		Records are also used to determine financial aid eligibility. See EDP220 for information held in the student information system [2.1.002].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

195 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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SAP210	15.2.010	Enrollment Census Reports (4th and 12th Day Class 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).	AC	7			AC = End of financial aid award year.		Records used to determine financial aid eligibility and must be retained (in Student Information System or elsewhere) for a minimum of 7 years. See EDP220 for information held in the student information system [2.1.002].	19 TAC §22.4 (2018).
SAP220	15.2.035	Registration Withdrawal Forms and Authorizations	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.	AC	7			AC = End of financial aid award year.		Records used to determine financial aid eligibility and must be retained (in Student Information System or elsewhere) for a minimum of 7 years. See EDP220 for information held in the student information system [2.1.002].	19 TAC §22.4 (2018).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

196 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
SAP310	15.2.013	Grade Reports (Report Cards to Students)	Grade report cards distributed to students.	AC	1			AC = Date distributed.		CAUTION: Coursework under dispute may not be destroyed until the resolution of the dispute. See SAD505 Student Information Files [15.2.009] for graduate student qualifying examinations. See SAD300 Faculty Grade Book [15.2.011]. See SAP340 for theses and dissertations [15.2.030].	AACRAO Schedule C.
SAP320	15.2.027	Student Certification Records - Academic	Student completion of certificate programs offered by university academic programs.	AC	5			AC = Graduation or date of last attendance.		CAUTION: Transcript notes regarding academic certifications awarded are maintained permanently by the Registrar. See SAP321 for professional certification records (e.g., teacher certification records)[15.2.028].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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FE – Fiscal year end

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US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist

R/O – Review by State/University Archivist

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197 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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SAP321	15.2.028	Student Certification Records - Professional	Certification records for licenses or certificates to enter a profession (e.g., teaching certificates). May include but not limited to: applications for admission to a program; registration for practicum hours and evidence of the completion of the practicum; transcripts; narrative evaluations on practicum; notice of completion of hours required for certification; and recommendations and evaluations.	AC	1			AC = End of certification period.		CAUTION: Accrediting agencies may require longer retention periods for professional certification records. Refer to accrediting agency to determine the term of the certification period. See SAP320 for academic certifications [15.2.027].	
SAP340	15.2.030	Theses and Dissertations Records	Final accepted copies of theses and dissertations presented to colleges in fulfillment of requirements for graduate degrees.	PM					I	The university library manages all theses and dissertations for permanent retention and research use.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition

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US – Until Superseded

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R/O – Review by State/University Archivist

E – Exempt from archival review and transfer

198 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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SAP400	15.2.001	Academic Action Authorizations	Authorizations for academic actions, such as academic probation, suspensions, dismissals, reinstatements, etc.	AC	7			AC = Graduation or date of last attendance.		Records used to determine financial aid eligibility and must be retained (in Student Information System or elsewhere) for a minimum of 7 years. See EDP220 Master Files and Application Data for information held in the SIS [2.1.002]. CAUTION: Refer to SAP410, SAP420, or SAP430 for disciplinary action records [15.5.007].	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
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FE – Fiscal year end
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US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

199 of 216

1. Agency Code:		2. Agency Name:									
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					Years	Months	Days				
SAP410	15.5.007	Disciplinary Action – Finalized (Clery Act)	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	7			AC = Date issue resolved		Some of these records may include documentation of reportable crimes as classified by the Jeanne Clery Disclosure of Campus Security and Campus Crime Statistics Act (commonly known as the Clery Act). The files must be maintained separately from the student's academic record. CAUTION: For Title IX complaints, see LEG800 [15.5.010]. Monthly reports sent to Clery Act Compliance Officer (CACO) of violations. DOS records should be kept for the full retention period as required by the Clery Act as they are the office of record and maintain the complete file.	Clery Act.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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Archival Codes (Field 10)

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200 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
SAP420	15.5.007	Disciplinary Action - Suspension (Clery Act)	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	7			AC = End of academic term to which the records are related.		Retention accommodates any changes/additions to Clery Act reporting requirements. CAUTION: For Title IX complaints, see LEG800 [15.5.010]. Monthly reports sent to Clery Act Compliance Officer (CACO) of violations. DOS records should be kept for the full retention period as required by the Clery Act as they are the office of record and maintain the complete file.	Clery Act.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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201 of 216

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
SAP430	15.5.007	Disciplinary Action – Expulsion (Clery Act)	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.		75					<p>NOTE: Some of these records may include documentation of reportable crimes as classified by the Jeanne Clery Disclosure of Campus Security and Campus Crime Statistics Act (commonly known as the Clery Act). The files must be maintained separately from the student's academic record.</p> <p>CAUTION: For Title IX complaints, see LEG800 [15.5.010].</p> <p>Monthly reports sent to Clery Act Compliance Officer (CACO) of violations. DOS records should be kept for the full retention period as required by the Clery Act as they are the office of record and maintain the complete file.</p>	Clery Act; TSUS Regents Rules and Regulations 5.9 (May 25, 2012).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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202 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
SAP440	15.5.007	Disciplinary Action – Non-Adjudicated (Clery Act)	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	7			AC = End of semester that event occurred.		Records of serious or Clery-reportable actions will be adjudicated and filed according to action taken (SAP10, SAP420, SAP430). CAUTION: For Title IX complaints, see RSIN 15.5.010. Monthly reports sent to Clery Act Compliance Officer (CACO) of violations. DOS records should be kept for the full retention period as required by the Clery Act as they are the office of record and maintain the complete file.	TSUS Regents Rules and Regulations 5.9 (May 25, 2012); Clery Act.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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203 of 216

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
SAP500	15.2.026	Student Advising Records - Graduated	Academic advising records, including advisors' notes, advising checklists, and unofficial or partial copies of grade reports.	AC	7			AC = Student graduation date		Student advising files now serve multiple administrative purposes, including supporting financial aid and NCAA audits. Records used to determine financial aid eligibility and must be retained (in Student Information System or elsewhere) for a minimum of 7 years. See EDP220 Master Files and Application Data for information held in the SIS [2.1.002].	19 TAC §22.4 (2018).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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204 of 216

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					Years	Months	Days				
SAP510	15.2.026	Student Advising Records - Intermittent Attendance	Academic advising records, including advisors' notes, advising checklists, and unofficial or partial copies of grade reports. This series is specifically for students who are enrolled in a degree program but take semesters or years off before returning to take coursework and/or complete their degree.	AC	7			AC = When the department/program determines that the student is no longer a viable candidate for continuing their education, but at least 3 years after last attendance.		Records used to determine financial aid eligibility and must be retained (in Student Information System or elsewhere) for a minimum of 7 years. See EDP220 Master Files and Application Data for information held in the SIS [2.1.002]. Records for students who graduate fall under item SAP500. C	19 TAC §22.4 (2018).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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205 of 216

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					Years	Months	Days				
SAP520	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.		7					Records used to determine financial aid eligibility and must be retained (in Student Information System or elsewhere) for a minimum of 7 years. Retention accommodates Athletics, Advising, and Financial Aid functions. See EDP220 Master Files and Application Data for information held in the SIS [2.1.002].	19 TAC §22.4 (2018).
SCE100	17.1.006	Continuing Education Records - For-Credit	For-credit course offerings and individual course contents as offered by Continuing Education (i.e., extension classes).	AC	5			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 SHC170 for medical continuing education records [16.1.007]. Local Schedule JC 3725-03 / 3725-06.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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206 of 216

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					Years	Months	Days				
SCE200	17.1.006	Continuing Education Records - Not-for-Credit	Not-for-credit course offerings and individual course contents as offered by Continuing Education (i.e., extension classes).	AC	5			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. Local Schedule JC 3725-03 / 3725-06.	
SCE300	17.1	Continuing Education Records - Non-Funded/Failed to Make		AC	1			AC = End of the academic term in which the course was to be offered.		Local Schedule JC 3725-03.	
SCE500		Continuing Education Course Records - Final Reports	This series comprises final and summary reports, including Texas Higher Education Coordinating Report CBM00X, for students in self-supporting courses and programs.	PM							
SCE505		Continuing Education Course Records - Working Files			5					CAUTION: Some of these records may affect accreditation and should be kept long enough to meet accreditation cycle requirement (i.e., if an accreditation cycle is 7 years, then these records should be kept for at least 7 years).	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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207 of 216

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					Years	Months	Days				
SFP100		FERPA - Access Policies	Written policies and procedures demonstrating how the university meets the requirements of the Family Educational Rights and Privacy Act (FERPA) of 1974, as amended, and federal rules adopted under the act.	US						Local Schedule JC 3775-01.	
SFP110	15.4.006	FERPA - Student Nondisclosure Requests	Student request to opt out of directory information disclosure.	AC				AC = Until termination of nondisclosure request.			34 CFR 99.37(b).
SFP200	15.4.002	FERPA - 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.			
SFP210	15.4.007	FERPA - Written Consents	Written consents and waivers for information disclosure from the eligible student or student's parents.	AC				AC = Until termination of waiver.			



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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208 of 216

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					Years	Months	Days				
SFP300	15.4.003	FERPA - 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.		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.	34 CFR 99.32(a)(2).
SFP400	15.4.005	FERPA - 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						
SFP500	15.4.004	FERPA - 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).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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209 of 216

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
SGR100	15.2	Graduation - Applications	Student applications for graduation.	AC	1			AC = Graduation or last date of attendance.		AACRAO Schedule C.	
SGR200	15.2	Graduation - Degree Audit and Authorizations	This series documents student completion of degree requirements, including authorizations certifying completion of degree requirements.	AC	3			AC = Graduation or date of last attendance.		AACRAO Schedule C.	
SGR300	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.			
SGR400	15.2	Graduation - Lists (Registrar/Academic)	This series involves the administrative preparations related to graduation, as verified by the official academic records held and managed by the Registrar's Office.	PM						AACRAO Schedule C and Schedule E.	
SGR500	17.1.004	Commencement Records (Ceremony)	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		



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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210 of 216

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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STU100	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).	AC	7			AC = End of financial aid award year.		CAUTION: Not to be confused with withdrawal records (SEE item SAP220). Records used to determine financial aid eligibility and must be retained (in Student Information System or elsewhere) for a minimum of 7 years. See EDP220 Master Files and Application Data for information held in the SIS [2.1.002].	19 TAC §22.4 (2018).
STU102	1.1.057	Student Class Schedules	This series provides a list of the classes registered for by an individual student for a particular semester.	AV							
STU110	15.2.007	Administrative Course Change Forms (Adds/Drops)	Forms or entries that provide verification that a student added or dropped course(s) at the beginning of the semester. This change of course should be in place before the enrollment reports are finalized (12 Class Day / 4th Class Day for summer).		1					See EDP220 Master Files and Application Data for information held in the SIS [2.1.002]. AACRAO Schedule C.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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211 of 216

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					Years	Months	Days				
STU115	15.5.001	Academic Standing Reports	This series documents student academic standing, including academic deficiency and the status changes of academically deficient students.	AC	3			AC = Graduation or date of last attendance.		See EDP220 Master Files and Application Data for information held in the SIS [2.1.002]. See SAP410, SAP420, SAP430 and SAP440 [15.5.007] for disciplinary action records.	
STU120	15.2.019	Holds & 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.			
STU130		Registration Cancellations		AC	7					Records used to determine financial aid eligibility and must be retained (in Student Information System or elsewhere) for a minimum of 7 years. See EDP220 Master Files and Application Data for information held in the SIS [2.1.002].	19 TAC §22.4 (2018).



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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212 of 216

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					Years	Months	Days				
STU210	15.2.023	Personal Data and Name Change Records	Change of address forms, race/ethnicity questionnaires, requests and authorizations to change other demographic data, and similar source documentation used to update personal data information on transcripts or other student records.	AV							
STU220	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	5			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 LEG610 Litigation Files [1.1.048]. If the grievance goes to the university ombudsman, the record should be retained as an ombudsman record per PER255 Ombudsman Records - Student [3.1.039]. CAUTION: For Title IX complaints, see LEG800 [15.5.010].	
STU310	1.1.008	Transcript Requests			2						



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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213 of 216

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					Years	Months	Days				
STU320	3.1.038	Public Access Option Records (Student Privacy Election)	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 PER600 [3.3.011].	
STU400	17.1	Non-University Student Program Administration - Policy and Program Development Records	This series documents the administrative activities of special instructional and support programs directed to serve elementary through high school and non-institution students belonging to special, minority, or disadvantaged groups. Examples of programs to which this series applies are Science and Mathematics Investigative Learning Experiences (SMILE); Federal TRIO Programs including Upward Bound; High School Equivalency, and other special non-institution student programs. This series comprises policy and program planning and development documentation.		5				O		



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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214 of 216

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STU410	16.5.009	Non-University Student Records	Senior learning programs and elementary through high school level program records for non-institution children, youth, and other students, including students belonging to special, minority, or disadvantaged groups. May include but not limited to: application, admission, and enrollment documentation; progress reports and assessments; parental consent forms; activity records; lists of attendees; personal and family information; medical and health documentation; selection and decision making documentation; Educational Opportunity Program (EOP) documentation; notification of admission and non-admission; recommendations and evaluative materials; copies of academic records; counseling and advising notes and documentation; housing and conduct documentation; immigration and citizenship documentation; and financial responsibility records. Programs include but are not limited to: Upward Bound and High School Equivalency Program (HSEP).	AC	3			AC = End of program session or student separation from program, as applicable.		See STU421 for child and youth program staff records [16.5.003].	
STU420		Child and Youth Program Participant Records	This series documents the participation of children and youth in programs sponsored by the institution.	AC	3			AC = End of program session or student separation from program, as applicable.			



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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215 of 216

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STU421	16.5.003	Child and Youth Program Staff Records	Staff applications for child and youth programs, background check reports, and training documentation.	AC	2			AC = Termination of staff.		CAUTION: If the youth camp is notified of an investigation or conviction of a camp staff member for an act of sexual abuse, as defined by §21.02 of the Texas Penal Code, which occurred at the camp, the camp shall retain all records related to the investigation or conviction until the department notifies the camp that the record retention is no longer required.	25 TAC 265.12.
STU500	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.		Information added to the Student Information System is used to determine financial aid eligibility and must remain in the SIS for a minimum of 7 years. See EDP220 Master Files and Application Data for information held in the SIS [2.1.002]. See STU520 for Hazlewood Act documentation [15.2.017].	38 CFR 21.4209(f), US Department of Veterans Affairs School Certifying Official Handbook.



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist
E – Exempt from archival review and transfer

216 of 216

1. Agency Code:		2. Agency Name:									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
STU520	15.2.017	Hazlewood Act Documentation	Applications and student eligibility determinations to claim the Hazlewood exemption and institutional records to track benefit hours claimed.	AC	3			AC = Last date of attendance, or date application denied, as applicable.		Information added to the Student Information System is used to determine financial aid eligibility and must remain in the SIS for a minimum of 7 years. See EDP220 Master Files and Application Data for information held in the SIS [2.1.002]. See STU500 for Veterans Affairs Records [15.2.033].	40 TAC 461.130.