LIBRARY ARCHIVES

STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

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

1. Agency Code: 717			2. Agency Name: Texas Southern University								
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period Years	Months	Days	9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
717.11.002	1.1.002	AUDITS	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC = Publication or release of final audit findings.		The State Auditor's Office retains any copies of its audits performed on Texas state agencies.	
717.11.080	1.1.004	LEGISLATIVE APPROPRIATION REQUESTS	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC	6			AC = September 1 of odd-numbered calendar years.	I	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.	
717.11.003	1.1.006	COMPLAINT RECORDS	Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC	2			AC = Final disposition of the complaint.		CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048.	

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717.11.004	1.1.007	CORRESPONDENCE - ADMINISTRATIVE	Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.		4				O	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. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.	
717.11.005	1.1.008	CORRESPONDENCE - GENERAL	Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.		2					SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.	

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717.11.007	1.1.010	DIRECTIVES	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						
717.11.087	1.1.011	EXECUTIVE ORDERS	Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.	US	3				I		
717.11.008	1.1.013	CALENDARS, APPOINTMENT AND ITINERARY RECORDS	Calendars, appointment books or programs, and scheduling or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries and other activities of agency officials or employees.	CE	1				O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods. CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.	

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717.11.009	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. See 1.1.048.	
717.11.088	1.1.019	PUBLIC RELATIONS RECORDS	News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.		2				O		
717.11.012	1.1.020	PUBLIC INFORMATION REQUESTS - NOT EXEMPTED	Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code).	AC	1			AC = Date request fulfilled.			
717.11.013	1.1.021	PUBLIC INFORMATION REQUESTS - EXEMPTED	Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code).	AC	2			AC = Date of notification that records are exempt.			
717.11.015	1.1.023	ORGANIZATION CHARTS		US					I	ARCHIVAL NOTE: Department level and above require archival transfer. Updates to Office of Institutional Effectiveness.	

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717.11.017	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 not included in or directly related to other records series in this schedule.	AC	3			AC = Decision made to implement or not to implement result of planning process.	O	ARCHIVES NOTE: Data processing planning records are not archival.	
717.11.019	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.			
717.11.089	1.1.027	PROPOSED LEGISLATION	Drafts of proposed legislation and related correspondence.	AV						Record copy in General Counsel.	
717.11.090	1.1.038	CUSTOMER SURVEYS	Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC				AC = Final disposition of summary report.		SEE item number 1.1.067 for summary reports compiled from customer surveys.	
717.11.025	1.1.040	SPEECHES, PAPERS AND PRESENTATIONS	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC				AC = End of term in office or termination of service in a state position.	O		
717.11.030	1.1.041	SUGGESTION SYSTEM RECORDS	Suggestions submitted by agency personnel and responses.		1						
717.11.091	1.1.043	TRAINING MATERIALS	Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US	1						

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717.11.092	1.1.048	LITIGATION FILES	Instructional materials developed by an agency for training entities or individuals it regulates or serves.	AC	1			AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	O	ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the University Archives for archival preservation.	
717.11.093	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.	AC				AC = Report filed with the Texas Ethics Commission.			
717.11.094	1.1.055	STRATEGIC PLANS	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.	AC	6			AC = September 1 of odd-numbered calendar years.	I	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
717.11.095	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).

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717.11.077	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. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; telephone message notifications; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC				AC = Purpose of record has been fulfilled.		CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	

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717.11.096	1.1.058	MEETING AGENDA AND MINUTES	Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.	PM					I	ARCHIVES NOTE: Agency retains permanent record copy. The archival requirement will be met by sending a copy to the University Archives. CAUTION: This records series and item numbers 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.	
717.11.097	1.1.059	MEETINGS, CERTIFIED AGENDAS OR TAPE RECORDINGS - CLOSED MEETINGS	Certified agendas or tape 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.		SEE caution comment at item number 1.1.058.	Government Code, 551.104(a).

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					Years	Months	Days				
717.11.098	1.1.060	MEETINGS, AUDIO OR VIDEO TAPE RECORDINGS - OPEN MEETINGS	Audio or videotapes 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: Minutes of state agencies are permanent records. Audio and videotapes are not permanent media. State agencies may not retain audio or videotapes of the meetings of governing bodies in lieu of written minutes. The proceedings of all meetings of state boards, committees, commissions, and councils must be reduced to writing. SEE caution comment at item number 1.1.058.	
717.11.099	1.1.061	MEETING - 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.		SEE caution comment at item number 1.1.058.	
717.11.100	1.1.062	MEETINGS - SUPPORTING DOCUMENTATION	Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.		2				I	SEE caution comment at item number 1.1.058.	
717.11.010	1.1.063	STAFF MEETING MINUTES AND NOTES	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.		1						

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717.11.076	1.1.064	AGENCY PERFORMANCE MEASURES DOCUMENTATION	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE	3					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.	
717.11.026	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						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 item number 1.1.064.	
717.11.101	1.1.066	REPORTS-BIENNIAL OR ANNUAL AGENCY NARRATIVE)	Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute.	AC	6			AC = September 1 of odd-numbered calendar years.	I	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, A, R, or E. SEE page ix for more information.	

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717.11.022	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		
717.11.102	1.1.068	REPORTS ON PERFORMANCE MEASURES	Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC	6			AC = September 1 of odd-numbered calendar years.			
717.11.024	1.1.069	REPORTS - ACTIVITY	Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.		1					CAUTION: SEE item number 1.1.064.	

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717.11.028	1.1.070	AGENCY RULES, POLICIES, AND PROCEDURES - FINAL	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Completion or termination of program, rules, policies or procedures.	O	SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.	
717.11.103	1.1.071	AGENCY RULES, POLICIES, AND PROCEDURES-WORKING FILES	Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Completion or termination of program, rules, policies or procedures.	O	See also item number 1.1.070.	
717.11.104	1.1.072	PUBLIC INFORMATION REPORTS	Reports made to the Office of the Attorney General on an agency's Public Information Act activities.		2						

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717.11.439	1.1.073	ADMINISTRATIVE HEARINGS	Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearing on proposed rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes.	AC	3			AC = Last action.			
717.11.105	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.			Texas Civil Practice and Remedies Code, Chapter 154.071.
717.11.408		PROCLAMATIONS		AV					I	Record copy to University Archives.	
717.12.106	1.2.001	DESTRUCTION AUTHORIZATIONS	Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE	3						
717.12.107	1.2.003	FORMS HISTORY FILE	Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	AC	1			AC = Discontinuance of use of form.			
717.12.108	1.2.004	FORMS INVENTORY	Any periodic listing of all forms used internally or externally by an agency.	US							

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717.12.034	1.2.005	RECORDS RETENTION SCHEDULE (SLR 105)	Agency copy. Formerly RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C) and/or other forms designated by the State Records Administrator.	US						Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
717.12.109	1.2.006	RECORDS TRANSMITTAL FORMS	Agency copy. Forms indicate records transferred to storage or a transfer of legal custody.	AC	2			AC = Date of authorization for destruction, permanent transfer from storage, or transfer to the University Archives, by the agency records management officer.			
717.12.110	1.2.008	REQUEST FOR AUTHORITY TO DISPOSE OF STATE RECORDS (RMD 102)	Agency copy.	FE	3					Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
717.12.111	1.2.010	RECORDS DISPOSITION LOGS (TSURMD 002)	Logs or similar records listing records destroyed, transferred to the University Archivist, showing records series title, dates of records, and date destroyed or transferred.		10						
717.12.035	1.2.012	RECORDS INVENTORY WORKSHEETS		US							

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717.12.113	1.2.013	RECORDS CONTROL LOCATOR AIDS	Includes indexes, card files, shelf lists, registers, guides, etc.	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.	
717.12.114	1.2.014	RECORDS MANAGEMENT PLANS	Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US	1						

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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 Years	Months	Days	9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
717.13.021	1.3.001	STATE PUBLICATIONS	One copy of each state publication as defined on page xi of the introduction of the Texas State Records Retention Schedule, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 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 441.101- 441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC 3.1-3.16).	
717.13.020	1.3.002	PUBLICATION DEVELOPMENT FILES	Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV					O		

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717.21.075	2.1.001	PROCESSING FILES	Machine-readable files used in the creation, utilization, and updating of master files.	AC				AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.	
717.21.117	2.1.002	MASTER FILES	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC				AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.	

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					Years	Months	Days				
717.21.074	2.1.007	SOFTWARE PROGRAMS	Automated software applications and operating system files including job control language, program listing/source code, etc.	AC				AC = Until electronic records are transferred to and made usable in a new software environment 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.
717.21.118	2.1.008	HARDWARE DOCUMENTATION	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC				AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.

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717.21.081	2.1.009	TECHNICAL DOCUMENTATION	Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate, and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	AC				AC = 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: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.
717.21.119	2.1.010	AUDIT TRAIL RECORDS	Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC				AC = All audit requirements have been met.			

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717.21.120	2.1.011	FINDING AIDS, INDEXES, AND TRACKING SYSTEMS	Automated indexes, lists, registers, and other finding aids used to provide access to records.	AC				AC = The related records have been destroyed.		CAUTION: These records must carry the same retention period and archival code of the records they support.	
717.22.121	2.2.001	SYSTEM MONITORING RECORDS	Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.	AV							
717.22.122	2.2.002	CHARGEBACK RECORDS TO DATA PROCESSING SERVICES USERS	Records used to document, calculate costs, and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.	FE	3						
717.22.123	2.2.004	COMPUTER JOB SCHEDULES AND REPORTS	Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.			3					
717.22.124	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 number 2.1.009.	

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717.22.125	2.2.011	BATCH DATA ENTRY CONTROL RECORDS	Forms and logs used to reconcile batches submitted for processing against batches received and processed.	AC				AC = When reconciliation confirmed.			
717.22.126	2.2.012	OUTPUT RECORDS FOR COMPUTER PRODUCTION	Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV							
717.22.127	2.2.013	QUALITY ASSURANCE RECORDS	Information verifying the quality of system, hardware, or software operations including records of errors or failures and the loss of data resulting from such failures, 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.			
717.22.128	2.2.014	INTERNET COOKIES	Data resident on hard drives that make use of user-specific information transmitted by the Web server onto the user's computer so that the information might be available for later access by itself or other servers.	AV						The disposal of Internet cookies need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	

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717.22.129	2.2.015	HISTORY FILES - WEB SITES	A record of the documents visited during an Internet session 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 history files need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	
717.22.130	2.2.016	SOFTWARE REGISTRATIONS, WARRANTIES AND LICENSE AGREEMENTS		LA	3					VITAL	
717.31.082	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.		2						29 CFR 1602.49(a)

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					Years	Months	Days				
717.31.036	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.			
717.31.131	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			
717.31.132	3.1.011	EMPLOYEE INSURANCE RECORDS	Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the 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 number 3.2.001.	
717.31.133	3.1.012	EMPLOYMENT OPPORTUNITY ANNOUNCEMENTS	Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.		2						29 CFR 1602.49(a)
717.31.134	3.1.013	EMPLOYMENT CONTRACTS	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

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717.31.134a	3.1.013	EMPLOYMENT CONTRACTS	Executed, renewed, or amended on or before August 31, 2015	AC	4			AC = Expiration or termination of the contract according to its terms			Government Code, 441.1855
717.31.038	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, pre-employment drug screening test results, polygraph examination results, and all other records that document the selection process.		2					CAUTION: Does not include criminal history checks. SEE item number 3.1.026.	29 CFR 1602.49(a)
717.31.135	3.1.018	GRIEVANCE RECORDS	Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC	2			AC = Final decision on the grievance.		CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U. S. Department of Labor. SEE item number 1.1.048.	
717.31.039	3.1.019	PERFORMANCE APPRAISALS			2						29 CFR 1620.32(c).

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717.31.040	3.1.020	PERSONNEL CORRECTIVE ACTION DOCUMENTATION	Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	AC	5			AC = Termination of corrective action.		CAUTION: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from this series used to support disciplinary action must be retained for the minimum retention period described by item number 3.1.021.	

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717.31.041	3.1.021	PERSONNEL DISCIPLINARY ACTION DOCUMENTATION	Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force; and for failure to improve performance or conduct following imposition of corrective action. May include 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.		5			AC = Termination of employment			
717.31.042	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)
717.31.043	3.1.023	POSITION/JOB DESCRIPTIONS	Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	4			AC = Until superseded or job eliminated.			40 TAC 815.106(i).

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717.31.136	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 preemployment physical examinations. SEE item number 3.1.014.	
717.31.137	3.1.026	CRIMINAL HISTORY CHECKS	Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC				AC = The criminal history record has served the immediate purpose for which it was obtained.		CAUTION: An agency that is authorized to obtain 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.	
717.31.047	3.1.027	TRAINING AND EDUCATIONAL ACHIEVEMENT RECORDS (INDIVIDUAL)	Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC	5			AC = Termination of employment.			

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717.31.138	3.1.029	EMPLOYMENT ELIGIBILITY, DOCUMENTATION OR VERIFICATION OF CITIZENSHIP	Federal reporting form (INS I-9).	AC	1			AC = Termination of employment.		CAUTION: Federal regulation requires that INS I-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period. VITAL	8 CFR 274a.2(b)(2)(i)(A) and (c)(2).
717.31.139	3.1.031	EMPLOYEE BENEFITS - OTHER THAN INSURANCE	Agency copies of information relating to the selection of available benefit options other than insurance.	AC	2			AC = Until superseded or termination of employment		CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	
717.31.140	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 item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.	

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717.31.141	3.1.035	PERFORMANCE BONDS	Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency. Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the bond according to its terms.		CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028. SEE related item 5.1.001 Contracts and Leases.	Government Code, 441.1855
717.31.141a	3.1.035	PERFORMANCE BONDS	Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency. Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the bond according to its terms.		CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028. SEE related item 5.1.001 Contracts and Leases.	Government Code, 441.1855
717.31.142	3.1.036	APPRENTICESHIP RECORDS	Summary of 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).

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717.31.143	3.1.037	EMPLOYEE RECOGNITION RECORDS	Awards, incentives, tenure, etc.	AC	5			AC = Termination of employment.			
717.31.144	3.1.038	PUBLIC ACCESS OPTION FORM	Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code 552.024.	US						SEE item number 3.3.011.	

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717.31.145	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 1.1.048, 3.1.006, 3.1.018, 3.1.020, and 3.1.021.	
717.32.146	3.2.001	EMPLOYEE DEDUCTION AUTHORIZATIONS	Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC	4			AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.			
717.32.147	3.2.002	EMPLOYEE EARNINGS RECORDS			4						40 TAC 815.106(i).
717.32.148	3.2.003	FEDERAL TAX RECORDS	Includes 1099, W2, FICA, and other tax records.	AC	4			AC = Tax due date, date claim is filed, or date tax is paid whichever is later.			26 CFR 31.6001-1(e)(2).
717.32.149	3.2.004	INCOME ADJUSTMENT AUTHORIZATIONS	Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.		2						29 CFR 516.6(c).
717.32.150	3.2.005	W-4 FORMS	Employer's copy of "Employee's Withholding Exemption Certificate."	AC	4			AC = Until superseded, obsolete, or upon separation of employee.			26 CFR 31.6001-1 (e)(2).
717.32.151	3.2.006	WAGE RATE TABLES			2						29 CFR 516.6(a)(2).

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					Years	Months	Days				
717.32.152	3.2.007	UNEMPLOYMENT COMPENSATION RECORDS		AC	5			AC = After compensation paid or rejected.			
717.32.153	3.2.008	DIRECT DEPOSIT APPLICATION / AUTHORIZATIONS		US							
717.32.154	3.2.009	STATE DEFERRED COMPENSATION RECORDS		AC	5			AC = All accounts with a vendor or vendors for the individual participant have been closed.		For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the Benefits Coordinator Reference Manual issued by the Employees Retirement System of Texas.	
717.32.083	3.2.010	HUMAN RESOURCES INFORMATION SYSTEM (HRIS) REPORTS	Includes supporting documentation	AC	4			AC = Issuance of report.			
717.33.155	3.3.001	AFFIRMATIVE ACTION PLANS	Affirmative action plans for both regular employees and apprenticeship programs.		5						29 CFR 30.8(e) for apprenticeship plans.
717.33.156	3.3.004	BENEFIT PLANS	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	US	1						29 CFR 1627.3(b)(2).
717.33.157	3.3.010	LABOR STATISTICS REPORTS	Reports providing statistical information on labor force.		3						

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717.33.158	3.3.011	FORMER EMPLOYEE VERIFICATION RECORDS	Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC	75			AC = Termination of employment.		See item number 3.1.038.	
717.33.159	3.3.015	POSITIONS/JOB CLASSIFICATION REVIEW FILE	Records relating to review and monitoring of job classifications within an agency.	US	3						
717.33.046	3.3.020	WORK SCHEDULES/ASSIGNMENTS	Work, duty, shift, crew, or case schedules, rosters, or assignments.		1						
717.33.160	3.3.022	TEXAS WORKFORCE COMMISSION (TWC) REPORTS	Reports to the agency from TWC or its predecessor pertaining to employees.		3						
717.33.031	3.3.023	REIMBURSABLE ACTIVITIES, REQUESTS AND AUTHORIZATIONS TO ENGAGE IN	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						
717.33.084	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						

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717.33.161	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						
717.33.162	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						
717.33.163	3.3.027	APTITUDE AND SKILLS TESTS	Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US	2					CAUTION: One copy of each different test (different in terms of either questions or administrative procedures) should be retained for the period indicated.	29 CFR 1602.49 [State Universities].
717.33.164	3.3.028	APTITUDE AND SKILLS TESTS (TEST PAPERS)	Aptitude and skills test papers of job applicants or of current personnel taking a test to qualify for promotion or transfer.		2						29 CFR 1602.49 [State Universities].
717.33.165	3.3.029	APTITUDE AND SKILLS TESTS (VALIDATION RECORDS)	Records of the validation of aptitude and skills tests.	AC	2			AC = As long as the test is used by an agency.			29 CFR 1602.49 [State Universities].

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					Years	Months	Days				
717.33.166	3.3.030	TRAINING ADMINISTRATION RECORDS	Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern an agency's programs, services, or projects.	US	2					CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.	
717.33.167	3.3.031	EEO REPORTS AND SUPPORTING DOCUMENTATION	Includes documentation used to complete EEO reports.		3						29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50
717.33.168	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.		3						29 CFR 1620.32.
717.34.169	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 on August 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE	3						

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717.34.170	3.4.002	LEAVE STATUS REPORTS	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3						
717.34.171	3.4.003	LESS THAN FULL-TIME WORKED REPORTS	Dates and hours.		4						40 TAC 815.106(i).
717.34.085	3.4.004	OVERTIME AUTHORIZATIONS			2						
717.34.172	3.4.005	OVERTIME SCHEDULES			2						
717.34.048	3.4.006	TIME CARDS AND TIME SHEETS			4						40 TAC 815.106(i).
717.34.049	3.4.007	TIME OFF AND/OR SICK LEAVE REQUESTS		FE	3						
717.34.050	3.4.008	SICK LEAVE POOL DOCUMENTATION	Requests submitted, approvals, number of hours transferred in and out, etc.	FE	3						
717.41.173	4.1.001	ACCOUNTS PAYABLE INFORMATION		FE	3						
717.41.174	4.1.002	BILLING DETAIL		FE	3					CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.	
717.41.175	4.1.003	CANCELED CHECKS/STUBS/WARRANTS/DRAFTS		FE	3						
717.41.176	4.1.004	ENCUMBRANCE DETAIL		FE	3						
717.41.177	4.1.005	INVENTORY AND OTHER COST FILES	Production, job, labor, quotes, pricing, specifications, etc.	FE	3						
717.41.178	4.1.006	INVESTMENT TRANSACTION FILES		FE	3						
717.41.179	4.1.007	TRANSFERS OR BUDGET REVISIONS	Transfers or adjustment to budgets.	FE	3						

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					Years	Months	Days				
717.41.180	4.1.008	ELECTRONIC FUND TRANSFERS	Direct Deposit Register	FE	3						
717.42.051	4.2.001	CASH DEPOSIT VOUCHERS	Cash deposit slips.	FE	3						
717.42.052	4.2.002	CASH RECEIPTS	Includes receipts for fees (permits, licenses, renewals, etc.)	FE	3						
717.42.078	4.2.003	DAILY CASH RECEIPTS LOGS		FE	3						
717.42.181	4.2.004	ENCUMBRANCE VOUCHERS	Orders, statements, change orders, etc.	FE	3						
717.42.053	4.2.005	PURCHASE VOUCHERS	Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	3						
717.42.182	4.2.006	GENERAL JOURNAL VOUCHERS		FE	3						
717.42.183	4.2.007	EXPENDITURE VOUCHERS	Travel, payroll, etc.	FE	3						
717.43.184	4.3.001	SALES JOURNALS OR REGISTERS		FE	3						
717.43.185	4.3.002	RECEIPTS JOURNALS OR REGISTERS		FE	3						
717.43.186	4.3.003	EXPENDITURES JOURNALS OR REGISTERS		FE	3						
717.44.187	4.4.001	GENERAL AND SUBSIDIARY LEDGERS		FE	3						
717.44.188	4.4.002	ACCOUNTS RECEIVABLE LEDGERS		FE	3						
717.44.189	4.4.003	ACCOUNTS PAYABLE LEDGERS		FE	3						

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717.44.190	4.4.004	EMPLOYEE SAVINGS BOND LEDGERS		FE	3						
717.45.191	4.5.001	WORKSHEETS FOR PREPARING FISCAL REPORTS		FE	3						
717.45.192	4.5.002	INTERNAL FISCAL MANAGEMENT REPORTS	Includes agency monthly budget reports.	FE	3						
717.45.193	4.5.003	ANNUAL FINANCIAL REPORTS	Required by the General Appropriations Act (100 Day Report).	AC	6			AC = September 1 of odd-numbered calendar years.		CAUTION: If an agency does not produce a biennial or annual narrative report as described in item number 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
717.45.194	4.5.005	EXTERNAL FISCAL REPORTS	Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE	3						

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717.45.054	4.5.006	ANNUAL OPERATING BUDGETS	Required by the General Appropriations Act.	FE	3						
717.45.195	4.5.007	USAS REPORTS - DAILY		AC				AC = Receipt and reconciliation of monthly report.			
717.45.196	4.5.008	USAS REPORTS - MONTHLY		AC				AC = Receipt and reconciliation of annual report			
717.45.197	4.5.009	USAS REPORTS - ANNUAL		FE	3						
717.46.198	4.6.001	BALANCING RECORDS		FE	3						
717.46.199	4.6.002	RECONCILIATIONS		FE	3						
717.46.200	4.6.003	CASH COUNTS		FE	3						
717.47.201	4.7.001	ACCOUNTING POLICIES AND PROCEDURES MANUAL		US	3						
717.47.202	4.7.002	BANK STATEMENTS		FE	3						
717.47.203	4.7.003	RETURNED CHECKS / WARRANTS / DRAFTS (UNCOLLECTABLE)		AC	3			AC = After deemed uncollectable			
717.47.204	4.7.004	CAPITAL ASSET RECORDS		LA	3						
717.47.205	4.7.005	CLAIM FILES		AC	3			AC = Resolution of claim			
717.47.206	4.7.006	COMPTROLLER STATEMENTS		FE	3						
717.47.207	4.7.007	DETAIL CHART OF ACCOUNTS	One for all accounts in use for a fiscal year.	FE	3						

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717.47.208	4.7.008	GRANT RECORDS	This series documents state and federal grant projects participated in or administered by state agencies. It includes grant authorization records, which provide evidence of the award of grants to or by agencies; grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by agencies.	AC	3			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that records are retained for the appropriate retention period.	
717.47.209	4.7.009	FIXED ASSET SEQUENTIAL NUMBER LOGS		US	3						
717.47.210	4.7.010	LONG-TERM LIABILITY RECORDS	Bonds, etc.	AC	3			AC = Retirement of debt.			
717.47.211	4.7.011	TEXAS FACILITIES COMMISSION STATEMENTS (TFC)	Charge or bill statements received by agencies from the TFC for services provided.	FE	3						
717.47.212	4.7.012	SIGNATURE AUTHORIZATIONS	Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	AC	3			AC = US + FE			

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717.51.056	5.1.001	CONTRACTS AND LEASES	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, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the instrument according to its terms.		SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.	Government Code, 441.1855
717.51.056a	5.1.001	CONTRACTS AND LEASES	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, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the instrument according to its terms.		SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.	Government Code, 441.1855
717.51.213	5.1.003	DELIVERY REPORTS			2						

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717.51.001	5.1.004	MAIL AND TELECOMMUNICA-TIONS LISTINGS	Any mailing address, telephone or fax number, or e-mail address records maintained by an agency on its employees or on entities or persons it serves.	US							
717.51.058	5.1.005	POSTAGE RECORDS	Records and reports of postage expenses, including postal meter usage.	FE	3						
717.51.059	5.1.007	REQUISITIONS FOR IN-AGENCY / INTER-AGENCY COPY/PRINTING SERVICE	Includes word processing and data processing.	AV							
717.51.214	5.1.010	LICENSES AND PERMITS FOR NONVEHICLES	Does not include licenses and permits issued by an agency as part of its statutory responsibilities.	AC	2			AC = Expiration date of license or permit.			
717.51.215	5.1.011	PHOTOCOPIER AND TELEFAX USAGE LOGS & REPORTS		AV							
717.51.216	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						
717.51.217	5.1.013	INSURANCE POLICIES	For vehicles, equipment, etc. Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the policy according to its terms.			Government Code, 441.1855
717.51.217a	5.1.013	INSURANCE POLICIES	For vehicles, equipment, etc. Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the policy according to its terms.			Government Code, 441.1855

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717.51.218	5.1.014	OFFICE PROCEDURES	Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency; for example, agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US	1						
717.51.006	5.1.015	CORRESPONDENCE TRACKING RECORDS	Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers.		1						
717.51.219	5.1.017	CONTRACT LOG	List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE	3						
717.52.220	5.2.001	APPRAISALS - BUILDING OR PROPERTY		AV					O		
717.52.221	5.2.002	BUILDING CONSTRUCTION PROJECT FILES	Planning, design, and construction records; accepted and rejected bids; correspondence; etc.	AC	10			AC = Completion of project.	O	SEE ALSO item numbers 5.2.003 and 5.2.028.	
717.52.222	5.2.003	BUILDING PLANS AND SPECIFICATIONS - STATE OWNED	Includes architectural and engineering drawings, profiles, and blueprints.	LA					O	SEE ALSO item numbers 5.2.002 and 5.2.028. ARCHIVES NOTE: Archival review designation is for state owned buildings only.	

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717.52.222a	5.2.003	BUILDING PLANS AND SPECIFICATIONS - LEASED	Includes architectural and engineering drawings, profiles, and blueprints.	AC	2			AC = For leased buildings; termination or cancellation of lease.			
717.52.062	5.2.004	BUILDING SPACE REQUESTS			1						
717.52.223	5.2.005	CALIBRATION RECORDS (EQUIPMENT OR INSTRUMENT)			10						
717.52.224	5.2.006	PROPERTY DESTRUCTION, CERTIFICATES OF		FE	3						
717.52.063	5.2.007	DAMAGE REPORTS	Reports of damage to state property.	FE	3						
717.52.064	5.2.008	EQUIPMENT HISTORY FILE; EQUIPMENT SERVICE AGREEMENTS	Agreements or contracts between the agency and equipment vendor to provide maintenance service for equipment. Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc.	LA	3					For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.	
717.52.225	5.2.009	EQUIPMENT INVENTORY DETAIL REPORT FORMS	Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE	3						
717.52.066	5.2.010	EQUIPMENT MANUALS		LA							
717.52.067	5.2.011	EQUIPMENT WARRANTIES		AC	1			AC = Expiration of Warranty.			
717.52.226	5.2.012	ESTIMATE FILES (SUPPLY AND REPAIR COST ESTIMATES)			1						
717.52.068	5.2.014	INVENTORY - ANNUAL PHYSICAL	Property, equipment, supply verification.	FE	3						

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717.52.227	5.2.015	INVENTORY, NOTICES OF EQUIPMENT REMOVED FROM		FE	3						
717.52.228	5.2.016	INVENTORY SYSTEM UPDATE LISTINGS	Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.	AC				AC = Transfer of information into annual listing.			
717.52.069	5.2.017	LOST & STOLEN PROPERTY REPORTS		FE	3						
717.52.229	5.2.018	QUALITY CONTROL REPORTS			2						
717.52.070	5.2.019	SERVICE ORDERS	Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks.		1						
717.52.230	5.2.020	SUPPLY USAGE RECORDS		FE	1						
717.52.231	5.2.021	SURPLUS PROPERTY SALE REPORTS		FE	3						
717.52.232	5.2.022	UTILITY USAGE REPORTS		AV							
717.52.233	5.2.023	YEAR-TO-DATE ACTIVITY (INVENTORY LISTING)	Shows additions, changes, transfers, and deletions of information within the inventory system. Data include agency, division, tag number, batch, document, transaction date, location, item code, description, date, and cost.	FE	3						
717.52.234	5.2.024	MATERIAL SPECIFICATIONS		AC	2			AC = Material is no longer in the agency.			

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717.52.235	5.2.025	EQUIPMENT DESCRIPTIONS AND SPECIFICATIONS		AC	2			AC = Equipment is no longer in the agency.			
717.52.236	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						
717.52.237	5.2.027	SPACE UTILIZATION REPORTS		AV							
717.52.238	5.2.028	BUILDING CONSTRUCTION CONTRACT AND INSPECTION RECORDS	Building construction contracts, surety bonds, and inspection records.	LA	10				O	SEE ALSO item numbers 5.2.002 and 5.2.003.	
717.53.239	5.3.002	FREIGHT BILLS PAID		FE	3						
717.53.240	5.3.003	FREIGHT CLAIMS		AC	2			AC = Resolution of claim.			
717.53.241	5.3.004	ORDER - ACKNOWLEDGMENTS		AV							
717.53.071	5.3.005	PACKING SLIPS		AV							
717.53.242	5.3.007	BID DOCUMENTATION	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected 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.		CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001 and 5.2.028.	

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717.53.242a	5.3.007	BID DOCUMENTATION	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations. Associated with a contract executed, renewed, or amended on or before August 31, 2015.	FE	3					CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001 and 5.2.028.	
717.53.242b	5.3.007	BID DOCUMENTATION	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations. Unsuccessful bids that do not meet agency submission requirements and are not included in bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.).	AC	2			AC = Date of notification of denial or date of withdrawal, as applicable.			
717.53.243	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						

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717.53.244	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.		CAUTION: If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with item number 5.3.007.	
717.54.072	5.4.001	ACCIDENT REPORTS AND ASSOCIATED DOCUMENTATION	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally on accident frequency.	CE	5					The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.	29 CFR 1904.33.
717.54.245	5.4.002	EVACUATION PLANS	Plans for evacuation of agency facilities in cases of emergency.	US							
717.54.246	5.4.003	INSPECTION RECORDS	Fire, safety, and other inspection records of agency facilities and equipment.	AC	3			AC = Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency.		CAUTION: Does not include inspection reports of building construction. SEE item number 5.2.028.	
717.54.247	5.4.004	FIRE ORDERS	Orders issued by Fire Marshal to correct deficiencies in compliance with the fire code.	AC	3			AC = Deficiency corrected.			
717.54.418		SAFETY TRAINING MATERIALS NONHAZARDOUS MATERIALS	Records of training given employees in an agency safety training for nonhazardous materials program.	US	1					For Hazardous Materials Training Records, see RSIN 5.4.007 (AIN 717.54.248) Hazardous Materials Training Records	

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717.54.248	5.4.007	HAZARDOUS MATERIALS TRAINING RECORDS	Records of training given employees in an agency hazard communications program.		5						Texas Health and Safety Code, 502.009(g).
717.54.249	5.4.008	HAZARD COMMUNICATION PLANS		US	5						Texas Health and Safety Code, 502.009(g).
717.54.250	5.4.009	WORKPLACE CHEMICAL LISTS			30						Texas Health and Safety Code, 502.005(d).
717.54.251	5.4.010	MATERIAL SAFETY DATA SHEETS		AC				AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.			
717.54.086	5.4.011	VISITOR CONTROL REGISTERS	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.		3						
717.54.060	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 facilities, equipment or automated systems.	AC	2			AC = Until superseded, date of expiration, or date of termination, whichever sooner.			
717.54.033	5.4.013	DISASTER PREPAREDNESS AND RECOVERY PLANS		US							
717.55.252	5.5.001	BILLING DETAIL - TELECOMMUNICATIONS (OTHER THAN TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE	3					SEE item number 5.5.006 for TEX-AN billing detail.	

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					Years	Months	Days				
717.55.253	5.5.002	LONG DISTANCE TELEPHONE LOGS	Long distance logs created by agencies for internal documentation purposes. Includes any similar logs created for long distance facsimile or electronic transmissions.	AV							
717.55.254	5.5.003	STATION ACTIVITY REPORTS	Internal listing of incoming/outgoing telephone activity to individual telephone stations.	AV							
717.55.255	5.5.004	SYSTEM ACTIVITY REPORTS	Internal listing of all incoming/outgoing agency telephone activity.	AV							
717.55.256	5.5.006	BILLING DETAIL - TELECOMMUNICATIONS (TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE	3					The billing agency will maintain all long distance TEX-AN records and will provide each using agency its bill summary of centralized capitol complex telephone service without call detail records. For these bill summaries, SEE item number 4.7.011. SEE item number 5.5.001 for billing detail from carriers other than TEX-AN.	
717.55.257	5.5.007	DISPUTED CALL DOCUMENTATION	Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use.	FE	3						
717.56.258	5.6.001	AIRPLANE FLIGHT LOGS - STATE OWNED		LA	3						

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717.56.258a	5.6.001	AIRPLANE FLIGHT LOGS - LEASED		FE	3						
717.56.259	5.6.002	AIRPLANE PASSENGER LISTS		FE	3						
717.56.260	5.6.003	INSPECTION REPAIR AND MAINTENANCE RECORDS - VEHICLES		LA	1						
717.56.261	5.6.004	LICENSE AND DRIVING RECORD CHECKS		AC				AC = Until superseded or until termination of employment.			
717.56.262	5.6.005	VEHICLE USE REPORTS	Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	FE	3						
717.56.263	5.6.007	VEHICLE TITLES & REGISTRATIONS		LA							
717.56.264	5.6.008	PILOT LICENSE VERIFICATIONS		AC	5			AC = Termination of employment.			
717.56.265	5.6.009	PARKING PERMITS OR ASSIGNMENTS		US							

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					Years	Months	Days				
717.61.266		ACTIVITY LOGS OR DOCKETS			2					Local Schedule Public Safety (PS) 4125-01 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. (See also 717.63.283 Clery Act Statistical data) RETENTION: 2 years; or 2 years after last entry if in bound volume. Retention Note: Prior to disposal, activity logs or dockets which are kept in a bound volume shall be appraised by the University Archivist for historical value and those determined by the University Archivist to merit retention for historical reasons must be retained PERMANENTLY.	

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717.61.267		ARREST REPORTS			75					PS 4125-02 Arrest report and fingerprints on each person arrested by the law enforcement agency and charged with a felony or a misdemeanor not punishable by fine only. (See item number 4125- 05(b)(1) for arrest reports on persons arrested for Class C misdemeanors.) RETENTION: 75 years, or date of death of individual, if known.	

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717.61.268		OFFENSE INVESTIGATION RECORDS	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; arrest reports (Class C misdemeanors only); 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. a) Cases not cleared. RETENTION: Until the statute of limitations has run. b) Retention: See Remarks. Cases in which an arrest is made or a citation issued and a law enforcement agency has certain knowledge of the pretrial or adjudicated disposition of an arrested or cited person and considers the case to have been 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.	AC						PS 4125-05 Retention Note: Retention periods date from date of arrest or citation and are based on the highest classification of offense for which a person is arrested and charged or, if applicable, the highest classification of offense for which a person is tried, whichever the lesser classification. 1) Class C misdemeanors and unclassified violations of state law or local ordinance punishable by fine only (including arrest reports and citations). RETENTION: 6 months 2) Class A and B misdemeanors and state jail felonies. RETENTION: 2 years. 3) Second and third-degree felonies. RETENTION: 10 years. 4) First-degree and capital felonies. RETENTION: 50 years. 5) Driving while intoxicated offenses. RETENTION: 10 years. (6) Or, for any classification of offense. RETENTION: Date of death of individual, if known		
717.61.269		RAP SHEETS		AV						PS 4125-06 Copies of rap sheets received from the Texas Department of Public Safety or other law enforcement agencies.	

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717.61.300		CONFISCATED PROPERTY/EVIDENCE	Any substance or material found or recovered in connection with a criminal investigation. Also includes anything that is held in police custody which has been found, turned in, abandoned, or held for safekeeping, and is not believed to be connected to a criminal or quasi-criminal offense.	FE		3				PS 4175-09 In order to purge a case, there must be research done to insure that the evidence is no longer needed, the items must be located and retrieved from storage, and the items must be released to the rightful owner or disposed of through destruction/auction/diversion to agency use. Within state statute guidelines, officers should choose to photograph, mark, and return certain items to victims before final court disposition has been received. The chain of custody of these items will be documented for all dispositions of property. Forfeitable and abandoned property shall be processed in accordance with state and federal statutes. FE of return or disposal of property + 3 years.	

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717.62.270		ACCIDENT REPORTS	a) Originals. Send to the Texas Department of Transportation. b) Copies 1) Accident reports in which no arrest is made. 2) Accident report in which an arrest is made.	AV						PS 4150-01 Records relating to traffic accidents, including accident reports, supplemental accident reports, photographs, correspondence, and related documentation. Retention Note: If as the result of an accident, a person is arrested A copy of the accident report must be retained for the appropriate retention period under item number 4125-05(b).	
717.62.271		FAMILY VIOLENCE REPORTS			3					PS 4150-04 Family violence reports that do not become a part of arrest or offense investigation records	
717.62.272		FIELD INTERROGATION REPORTS		AV						PS 4150-05 Reports on persons stopped and interrogated in the field because of suspicious behavior.	
717.62.273		INCIDENT REPORTS			3					PS 4150-07 Reports concerning incidents or complaints that, after investigation, did not appear to have involved the commission of a crime.	

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717.62.274		WARNING CITATIONS		AV						PS 4150-09 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.	
717.63.275		FINGERPRINT RECORDS		AV						PS 4175-03 Fingerprint records maintained in paper or on automated systems of missing persons, suspects, known offenders, incarcerated persons, etc. Retention Note: Fingerprint records of persons arrested for offenses other than Class C misdemeanors must be retained 75 years or until date of death of individual, if known by the arresting agency. See 717.61.267.	
717.63.276		MUG BOOKS		AV						PS 4175-06 Photographs or photograph albums of known offenders used by crime victims or witnesses for identification.	

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717.63.278		STOLEN PROPERTY RECORDS NON-UNIVERSITY PROPERTY		AV						PS 4175-12 Cards, lists, or logs providing an abstract record of stolen property, including stolen vehicles, usually including description of item or vehicle, place and date stolen, serial numbers, and similar information. See also 5.2.017 Stolen Property Reports	
717.63.279		TELETYPE MESSAGES	Teletype messages received from other law enforcement agencies or through crime information networks that are not made part of offense investigation records.	AV						PS 4175-13 See 717.61.268	

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717.63.280		UNIFORM CRIME REPORTS	Copies of uniform crime reports submitted to the Texas Department of Public Safety. Monthly reports.		3					PS 4175-14	
717.63.280a		UNIFORM CRIME REPORTS	Copies of uniform crime reports submitted to the Texas Department of Public Safety. Annual reports.	PM						PS 4175-14	
717.63.281		WANTED PERSONS FILES	Records received on persons wanted by other law enforcement agencies.	AV						PS 4175-15	
717.63.282		CLERY ACT ANNUAL SECURITY REPORTS		PM							20 U.S.C. § 1092(f); 34 C.F.R. § 668.46

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					Years	Months	Days				
717.63.283		CLERY ACT STATISTICAL DATA		CE	7					Records to be kept include, but are not limited to, copies of crime reports; the daily crime logs; records for arrests and referrals for disciplinary action; timely warning reports; documentation, such as letters to and from local police having to do with Clery Act compliance; letters to and from campus security authorities; correspondence with the U.S. Department of Education (ED) regarding Clery Act compliance; and copies of notices to students and employees about the availability of the annual security report.	
717.71.284		ACCREDITATION RECORDS - PROGRAMS		FE	10				O	Records kept according to accrediting organization's requirement.	
717.71.285		ACCREDITATION RECORDS - UNIVERSITY		PM					O	Accreditation documents from the legislature, executive branch or the Southern Association of Colleges and Schools (SACS).	

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717.71.286	17.1.001	ACADEMIC PROGRAM ADMINISTRATIVE RECORDS	This series documents the daily and routine administration of academic programs of the department or college. This series may include but is 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; convenience copies of reports prepared by admissions, registrar's, and other offices; memos; working papers; and related documentation and correspondence.		5				O	URRS-273 Contact University archives for archival review and directions.	
717.71.287		APPLICATIONS FOR RANK AND TENURE		AC	2			AC= After decision made on application		Record copy in Fiscal/ Human Resources.	29 CFR 1602.49

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					Years	Months	Days				
717.71.407		ARTICULATION AGREEMENTS	Documents related to University articulation agreements with other universities and colleges. Includes document related to transfer policies for a specific academic program or degree.	AC	4			AC = Expiration or termination of the agreement according to its terms.			

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717.71.288		SEARCH COMMITTEE FILES	Committee search records for deans and area directors. Includes job requisitions, full search plan information; copies of announcements, advertising, and other solicitations for applications and nominations; applicant and nominee correspondence, evaluations, references, reference checks, and a record of verbal contacts with or about applicants or nominee; records of all committee meetings, including selection criteria, decision making, voting, etc; and, valuations of candidates at each step, evaluations of candidates who are interviewed, reasons why candidates were not referred for selection, and the faculty vote on tenure decisions.		2						

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717.71.290	12.1.001	FACULTY APPOINTMENT, PROMOTION, AND TENURE RECORDS	Evaluations, recommendations, and similar documentation relating to the review process for promotion and tenure for all faculty or staff in the tenure track. Includes faculty academic profiles. Does not include faculty development plans.	AC	5			AC = Termination of employment or termination/expiration of agreement.	O	URRS-57 CAUTION: For records of staff employee recognition, see RRS 3.1.037. CAUTION: Institutions should determine whether these materials possess archival value. Contact University archives for archival review and directions. For faculty development plans, see 717.71.290a.	29 CFR 1602.49. for Promotion and Tenure Records 29 CFR 1602.49(a) for Personnel Information or Action Forms
717.71.290a	12.1.001	FACULTY APPOINTMENT, PROMOTION, AND TENURE RECORDS	Evaluations, recommendations, and similar documentation relating to the review process for promotion and tenure for all faculty or staff in the tenure track. Includes faculty development plans. Does not include faculty academic profiles.	US					O	URRS-57 CAUTION: For records of staff employee recognition, see RRS 3.1.037. CAUTION: Institutions should determine whether these materials possess archival value. Contact University archives for archival review and directions. ARCHIVAL NOTE: Request University archives review for value. For faculty academic profiles, see 717.71.290.	29 CFR 1602.49. for Promotion and Tenure Records 29 CFR 1602.49(a) for Personnel Information or Action Forms

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717.71.292		FACULTY EVALUATIONS	Prepared by students attending course.	AC	5			AC = Conclusion of semester in which course was taught.			
717.71.293	17.1.003	CLASS SCHEDULING RECORDS-WORKING FILES	This series documents the formulation of class schedules by academic departments for inclusion in the published schedule of classes. This series may include but is not limited to: requests from departments for class offerings; deviation from schedule forms; copies of course schedule maintenance forms; requests for class changes; working papers; and related documentation and correspondence. Includes small class justifications.		1					URRS-270	

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717.71.300	15.2.015	GRADUATION- DEGREE AUDIT AND AUTHORIZATIONS	This series documents student completion of degree requirements, including authorizations certifying completion of degree requirements. The series may include official graduation audit forms that list students' names; colleges; majors; degrees; minors; the breakdown of institutional degree requirements and how the applicants have fulfilled them; grade point averages; deans' recommendations/comments and signatures; and comprehensive examinations.	AC	3			AC = Graduation or date of last attendance.		URRS-114	
717.71.301	15.2.029	STUDENT COURSEWORK	This series documents student subject mastery in institution courses. Records may include but are not limited to: examinations and answers; quizzes and answers; homework assignments; course papers; term papers; projects; research; certification; and essay assignments. Does not include thesis and dissertations.	AC	1			AC = End of academic term.		URRS-127 CAUTION: Coursework under dispute may not be destroyed until the resolution of the dispute. CAUTION: Refer to 15.2.015 for comprehensive examinations. Refer to 15.2.009 for graduate student qualifying examinations.	
717.71.303		GRADE APPEALS OR CHANGE REQUESTS		AC	1			AC= Decision on change request.		Per JC3725-06d	

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					Years	Months	Days				
717.71.426		CHANGE OF GRADE FORM		PM							
717.71.304		GRADE BOOKS		AC	5			AC= Course Completion			
717.71.305		GRADE REPORTS		AC	5			AC= End of academic year in which data posted to transcript per JC3725-06a.		Record copy in Registrar's Office.	
717.71.306		GRADUATION LISTS	Lists of graduates for graduating class.	PM						American Association of Collegiate Registrars and Admissions Officers (AACRAO), Retention Schedule C Record copy in Registrar's Office.	
717.71.307		GRADUATION AUTHORIZATION		AC	5			AC=Graduation or last day of attendance, whichever is later.			
717.71.079		CURRICULUM DEVELOPMENT FILES	Reports, studies, and similar records documenting the development of new courses and programs.		5				O	Review before disposal; some records of this type may merit permanent retention for historical reasons.	
717.71.308		DEGREE PROGRAM DEVELOPMENT RECORDS	Including evaluations/comments, etc. and final decision from approving entities.	AC	1			AC= After final decision made regarding approval.	O		
717.71.309		COURSE SYLLABI, OUTLINES		US							
717.71.310		LISTS OF TEXTBOOKS FOR CLASSES		US							
717.71.311		INTERNSHIPS	Including student teacher placement requests and assignments, & field practice arrangements; evaluations.	AC	2			AC=After completion of internship.			

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717.71.312		SCHOLARSHIPS	Including criteria, applications, selection process and committee members, etc.	AC	3			AC = End of award period		See JC3750-01a (8) All local grant, scholarship, loan, or work study programs.	
717.71.313		HONOR ROLL STUDENT LISTS		AV						Record copy in Student Services and Registrar's Office. Documented on student transcript.	
717.71.314		CONFERENCE/COUNSELING/CONTACT SHEETS AND ACADEMIC ADVISING RECORDS		AC	5			AC= After graduation or date of last attendance, whichever is later.			
717.71.339		LOG OF STUDENT REQUESTS FOR CONFERENCE			2						
717.72.055		FUND RAISING ACTIVITIES	Correspondence regarding activities other notes for subsequent activities.	FE	3				O	ARCHIVAL NOTE: Request University archives review. Record copy in Fiscal/Bursar's Office. See also 717.72.427 Gifts and Endowment Records.	
717.72.427		GIFTS AND ENDOWMENT RECORDS		PM					O		
717.73.315		PATENTS, TRADEMARKS	And Documents, Research Records, and Records Reflecting Usage.	AC	20			AC = Date of receipt of patent, or date of issuance of trademark.	I		

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717.73.428		COPYRIGHTS WORKS MADE FOR HIRE	For works that were created by employees within the scope of their employment.	AC				AC= Date of publication	I	AC+95 for published works AC= Date of publication AC+120 for unpublished works AC = Date of creation Note: Copyright protection lasts for either 95 years from the work's first publication, or 120 years from its creation, whichever is shorter.	
717.73.316		ANIMALS - RESEARCH/ LABORATORY RECORDS		AC	3			AC = End of project.			Animal Welfare Act of 1966, P.L. 89- 544.
717.73.436		PROTOCOLS FOR RESEARCH PROJECTS INVOLVING HUMAN SUBJECTS. INSTITUTIONAL REVIEW BOARD (IRB) RECORDS.	Includes copies of research proposals, scientific evaluations, sample consent forms, progress reports, and injury to subjects reports. Also includes IRB member list, meeting minutes, written procedures and statement of significant new findings provided to subjects.	AC	3			AC = Completion or expiration of the research.		The records required by this policy shall be retained for at least 3 years, and records relating to research which is conducted shall be retained for at least 3 years after completion of the research.	45 CFR §46.115(b)
717.73.406		REPORT ANNUAL, CONTROLLED SUBSTANCES USED		FE	3					Includes inventory lists of controlled substances obtained and dispensed.	
717.73.416		SPECIALIZED ORDERS - CONTROLLED SUBSTANCES	Requests for controlled substances	FE	3					Copy to Justice Department of Drug Enforcement Administration.	
717.73.318		RESEARCH PROPOSALS - ACCEPTED (Funded)		AC				AC = Completion or termination of the project.		Record copy in Academic Affairs & Research.	

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717.73.429		RESEARCH PROPOSALS - DENIED (Not Funded)			3						
717.74.319		KTSU RADIO CONSTRUCTION PERMITS - POWER AND ANTENNA TOWER		PM					I	Federal Communications Commission (FCC) Compliance.	
717.74.320		KTSU RADIO BROADCAST LOGS		CE	5					CE= Calendar year end.	
717.74.321		KTSU RADIO UNDERWRITER AGREEMENTS	Underwriter agreements and related documents for KTSU radio.		5						
717.74.323		KTSU RADIO PUBLIC FILES - DOCUMENTS AND LICENSES	Including ownership, technical licenses and permits, annual employment reports, political use requests, letters of response, agreements, and contracts.	PM							FCC Compliance.
717.74.324		KTSU RADIO QUARTERLY TOWER INSPECTION SHEETS	Quarterly radio tower inspection sheets and relevant documents.	AC	3			AC = Inspection or date of the Correction of the Deficiency, if the Inspection Report Reveals a Deficiency.			FCC Compliance.
717.74.325		KTSU RADIO MAINTENANCE AND AUXILIARY FREQUENCY CHECKS	Documents related to the maintenance of radio equipment and auxiliary frequency checks for KTSU Radio.		3						FCC Compliance.
717.74.326		KTSU RADIO DONOR ANNOUNCEMENT FOR NON-COMMERCIAL STATIONS			2						FCC Compliance 47 CFR 73.3527(e)

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717.75.430		ACCESSION/DEACCESSION RECORDS		AV						Local Schedule Junior College (JC) JC3925-01 Records used to update library catalogs or inventory records of the accession through purchase or gift or the deaccession through loss or withdrawal of library and museum materials.	
717.75.431	16.2.004	BORROWER REGISTRATION RECORDS	Records documenting guest and student borrowers of library materials. Records may include guest borrower's name, address, telephone number, company or institution name, and patron status.	AC				AC = Expiration of borrowing privileges and clearing of fines.		URRS-214 CAUTION: If borrower application serves as an agreement between the borrower and the institution (e.g., to follow library rules), refer to RRS 5.1.001.	
717.75.432		CIRCULATION RECORDS		AV						JC3925-03 Records documenting the circulation of library materials to individual borrowers.	

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717.75.433		INTERLIBRARY LOAN RECORDS		AV						JC3925-04 Records relating to the lending and borrowing of library materials through interlibrary loan. Retention Note: It is an exception to the retention period for this item that if interlibrary loan services are funded by indirect grants from the U.S. Department of Education, the record copy of documents evidencing interlibrary loan activity must be retained for FE + 7 years.	
717.75.434		INVENTORY RECORDS		US						JC3925-05 Shelf lists or equivalent records showing current library and museum holdings.	
717.75.435		LIBRARY CATALOGS		US						JC3925-06	
717.81.294		TWELFTH DAY CLASS REPORT			5					Buckley Amendment, Confidential record.	
717.81.327		ADMISSION RECORDS - STUDENTS WHO ENTER	Acceptance letter, application for admission, relevant correspondence, letters of recommendation, test scores, placement tests, transcripts - other colleges, foreign transcript evaluations, personal statements (student vita), and degree plans.	AC	5			AC=Graduation or last day of attendance, whichever is later.		Record copy in Registrar's Office after the 12th class day in long terms and after the 4th class day in short terms.	

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717.81.329		DOCUMENTS FOR APPLICANTS WHO ENTER REGISTRATION AND RECORDS DATA/ DOCUMENTATION	Academic records including narrative evaluation, competency assessments, applications for admission or readmission change of course, change of grade form, class lists, relevant correspondence, credit by examination, credit/ no credit approvals, curriculum change authorizations, degree audit records, disciplinary action documents, graduation lists, graduation authorizations, personal data information forms, transfer credit evaluation.	PM						American Association of Collegiate Registrars and Admissions Officers (AACRAO) Retention Schedule C. Maintained on microfilm. Paper copy destroyed after five years.	
717.81.414		ADMISSION RECORDS - STUDENTS WHO DO NOT ENTER	Acceptance letter, application for admission, relevant correspondence, letters of recommendation, test scores, placements tests, transcripts - other colleges, foreign transcript evaluations, personal statements (student vita), degree plans.	AC	1			AC = Beginning of semester of application.		Record copy in Admissions Office.	
717.81.417		TRANSFER CREDIT EVALUATIONS AND TRANSCRIPT REQUESTS		AC				AC = Graduation or last day of attendance, whichever is later.		AC+5 Credit Awarded AC+1 Credit Not Awarded AC = End of academic year in which decision is made.	

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717.81.296		CLASS ATTENDANCE (DOCUMENTATION)			5					Buckley Amendment, Confidential record.	
717.81.297		CLASS SCHEDULES - STUDENTS		AC	1			AC= After graduation or date of last attendance, whichever is later.			
717.81.395		CLASS SCHEDULES - VETERANS AFFAIRS		FE	3					Subject to Texas Education Agency Audit.	
717.81.302		CREDIT BY EXAMINATION	Completed forms	AC	5			AC= Graduation or last day of attendance, whichever is later.		Record copy in Office of Registrar.	
717.81.396		DEGREE PLANS (SELECTED)	Selected student degree plan	AC				AC= After graduation or date of last attendance, whichever is later.			
717.81.295		ENROLLMENT VERIFICATION	Document verifying that a student is enrolled at the University.	AC	2			AC= After graduation or the date of last attendance.			
717.81.299		INCOMPLETE "I" GRADE REPORTS	Including explanations and removals	AC				AC= After removal entered on transcript or expiration of time to remove, whichever is later.			
717.81.298		WITHDRAWAL AUTHORIZATIONS		AC	5			AC= After semester end of the withdrawal.			
717.81.413		INTERNATIONAL STUDENT RECORDS - STUDENTS WHO ENTER	Include the I-20, and copies of permanent resident alien card, naturalization papers, affidavit of support, and Test of English as a Foreign Language (TOEFL) score, foreign transcript evaluations, transient letters, and copies of admission applications and official transcript.		10					Note: The I-20 is required by Immigration Office to be retained for 10 years.	

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717.81.345		INTERNATIONAL STUDENT RECORDS - STUDENTS WHO DO NOT ENTER	Include the I-20, and copies of permanent resident alien card, naturalization papers, affidavit of support, Test of English as a Foreign Language (TOEFL) score, foreign transcript evaluations, transient letters, and copies of admission applications and official transcript.		2						
717.81.438		TRANSCRIPTS		PM						JC3725-11	
717.81.331		SOCIAL SECURITY CERTIFICATIONS, TEACHER CERTIFICATIONS, VETERANS ADMINISTRATION CERTIFICATIONS		PM						AACRAO Retention Schedule D. maintained on microfilm. Paper copy destroyed after five years.	
717.81.332		PUBLICATIONS, STATISTICAL DATA/DOCUMENTS, AND INSTITUTIONAL REPORTS	Catalogs, commencement program, degree statistics, enrollment statistics, racial/ ethnic statistics, student demographics, and schedule of classes.		20				I	AACRAO Retention Schedule E. Copies to University Archives.	
717.81.335		PROMOTIONAL MATERIALS	Including printing material and souvenirs for distribution to prospective students.		3				O	Items of all media are included.	

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717.81.336		FINANCIAL AID DOCUMENTS - APPLICATION AND AWARD RECORDS	Including applications, financial aid need and eligibility forms, financial aid transcripts, verification of need relating to the application for and award of grants, scholarships, loans, veterans benefits, and work-study programs.	AC	5			AC= End of award year; end of the period for which loan was intended; termination of enrollment.			
717.81.337		FINANCIAL AID DOCUMENTS - DISBURSEMENT AND REPAYMENT RECORDS	Including disbursement and repayment forms, receipts, copies of promissory notes, certifications of enrollment status to grantors or lenders; cancellation, deferment or payment extension records; documentation of entrance and exit interviews; records of contacts concerning overdue loans and related correspondence.	AC	5			AC= After repayment or cancellation; end of award year; after annual report made for award year.			
717.81.437		STUDENTS - HOUSING RECORDS		AC	3			AC = End of the academic year (or award year for which the aid was awarded and disbursed).		All audit requirements will be met prior to disposal. Retention based upon Federal requirements for Title IV Higher Education Act (HEA) Programs. 34 CFR 668.24	
717.82.419		REQUESTS FOR FORMAL HEARINGS		AC				AC=Terminate at same time as pertinent student record.			

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717.82.420		REQUESTS AND DISCLOSURES OF PERSONALLY IDENTIFIABLE INFORMATION		AC						Retention = 2 years: For Requests and Disclosures of Personally Identifiable Information to: the student, to an official of the university for what the university has determined are legitimate educational interests, to a party with written consent from the student, or to a party seeking directory information. Retention = Permanent: If information is disclosed to any other party.	
717.82.421		STUDENT REQUESTS FOR NONDISCLOSURE OF DIRECTORY INFORMATION		AC	1			AC= After graduation or date of last attendance, whichever is later.			
717.82.422		STUDENT STATEMENTS ON CONTENT OF RECORDS REGARDING HEARING PANEL DECISIONS		AC				AC=Terminate at same time as pertinent student record.			
717.82.423		STUDENT'S WRITTEN CONSENT FOR RECORDS DISCLOSURE		PM						JC3775-02c	
717.82.424		WAIVERS FOR RIGHTS OF ACCESS		AC				AC=Until terminated by the student, or terminate at same time as pertinent student record.			

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717.82.425		WRITTEN DECISIONS OF HEARING PANELS		AC				AC=Terminate at same time as pertinent student record.			
717.83.340		STUDENT ORGANIZATIONS	Including charters, operations (activities, officers, budgets), pertinent correspondence, etc.	AC				AC= After the organization ceases function or is dissolved.	I	Record copy to archives.	
717.83.341	15.2.028	STUDENT CERTIFICATION RECORDS-PROFESSIONAL	This series documents the preparation of students earning degrees and/or certification for licenses or certificates to enter a profession (e.g., teaching certificates) and forms the basis of the initial certification by external entities for various professions. Records may include: applications for admission to a program; registration for practicum hours and evidence of the completion of the practicum; transcripts; certification test scores, narrative evaluations on practicum; notice of completion of hours required for certification; recommendations and evaluations; and related correspondence.	AC	5			AC= After graduation or date of last attendance, whichever is later.		URRS-129 CAUTION: Accrediting agencies may require longer retention periods for professional certification records. Refer to accrediting agency to determine the term of the certification period. Refer to 15.2.027 for records of academic certifications.	
717.83.342		DEFICIENCY PLANS	Initial teacher certification deficiency plan.	CE	3						
717.83.343		DEFICIENCY PLANS	Deficiency plan for additional teacher certification	CE	5						

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717.83.344		PLACEMENT FILE	Includes transcripts, resume, letters of recommendation.	AC	5			AC= After graduation or date of last attendance, whichever is later.			
717.83.346		ELIGIBILITY VERIFICATION	Eligibility verification documents regarding funding for the TRIO, Upward Bound, and Student Support Services programs.	FE	5						34CFR. § 645.3 and CFDA No. 84.042
717.83.347		COUNSELING NOTES		AC	5			AC= After case closed or after graduation, whichever is later.			
717.83.411		GENERAL EDUCATION DEVELOPMENT (G.E.D.) - CLASS ROSTER	Documents related to GED classes attended by student.	AC	3			AC= End of academic year			
717.83.348		ACTIVITY REPORTS	Trips and excursions.		1						
717.83.349		STUDENT DATA SHEETS (FOR TRACKING)	Documents related to student data tracking.	AC	5			AC= After graduation or date of last attendance, whichever is later.			
717.83.350		ANNUAL CONTINUATION APPLICATION	Annual continuation application regarding the funding for the TRIO, Upward Bound, and Student Support Services programs.	AC	5			AC= After graduation or date of last attendance, whichever is later.			34CFR. § 645.3 and CFDA No. 84.042 Copies to Fiscal/ Grants & Contracts
717.83.351		ANNUAL PERFORMANCE REPORTS	Annual performance reports regarding the funding for the TRIO, Upward Bound, and Student Support Services programs.		1						34CFR. § 645.3 and CFDA No. 84.042 Copies to Department of Education and Fiscal/ Grants & Contracts

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717.83.353		PARENTAL/GUARDIAN CONSENT FORM - UNIVERSITY STUDENTS		AC				AC= After graduation or date of last attendance, whichever is later.			
717.83.441	16.5.003	CHILD AND YOUTH PROGRAM PARTICIPANT RECORDS	This series documents the participation of children and youth in programs sponsored by the institution. The series may include: applications; enrollment records; progress reports and assessments; immunization records; parental consent forms; activity records; lists of attendees; and related correspondence. Includes campus program for minors, TRIO, Upward Bound, academic and athletic camps and all other programs/camps for minors who are not enrolled in the University.	AC	3			AC = End of program session or student separation from program, as applicable.		URRS-254 PW5525-04c Retention Note: 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 717.62.270	
717.83.354		MEDICAL RELEASE FORMS - SIGNED		AC	7			AC= the last date of treatment		Note: Medical release forms (as part of the medical record) should be retained 7 years after the last date of treatment - 22 TAC 165.1(b).	
717.83.356		PARTICIPANT EVALUATIONS/PROGRESS REPORTS	Documents related to student evaluations and progress reports.	AC	5			AC= After graduation or date of last attendance, whichever is later.			
717.83.360		PROJECT LOGBOOKS	Logbooks for Student Services projects.	AC	3			AC= After close, terminated, completed, expired, settled.			

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717.83.362		APPOINTMENTS RECORD (CONTACTS WITH STUDENTS)	Documents related to administrative, health clinic, and career counseling, appointments with students including student contact.	CE	5						
717.83.364		EMPLOYMENT FOLLOW-UP FORMS	Documents related to following up with an employee after employment.	CE	1						
717.83.365		LOG OF EMPLOYMENT RECRUITERS	Log of employment recruiting activities including a list of University recruiters.	US							
717.83.366		LOG OF STUDENT APPOINTMENTS FOR INTERVIEWS WITH RECRUITERS	Log of student interview appointments with non-University recruiters.	CE	1						
717.83.367		LOG OF STUDENT CONTACTS	Log of student contacts with Student Services.	CE	1						
717.83.404		FRESHMAN SEMINAR 102/SOCIOLOGY 211 CLASS/GENERAL ASSEMBLY STUDENT RECORDS	Documents related to student participation in the freshman seminar.	AC	5			AC=Graduation or termination of enrollment, whichever is later.			
717.83.405		ACADEMIC OBJECTIVE REVIEW CLASSES-SCHEDULE	Documents related to objective review of academic classes that are on the schedule.		5						

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717.84.368		STUDENT-ATHLETE EDUCATION RECORDS	Including student-athlete statement, results of drug tests, high school and all college transcripts, precollege test scores and related information and correspondence, records concerning financial aid, other documents obtained pertaining to National Collegiate Athletic Association (NCAA) eligibility.	AC	6			AC=Graduation or termination of enrollment, whichever is later.		Subject to NCAA investigative review.	
717.84.369		FINANCIAL AID AGREEMENT		AC	6			AC=Graduation or termination of enrollment, whichever is later.		Subject to NCAA investigative review.	
717.84.370		NCAA COMPLIANCE RECORD	Including certification of compliance form, student-athlete statement, drug-testing consent form, student-athlete affirmation of eligibility.	AC	6			AC=Graduation or termination of enrollment, whichever is later.		Subject to NCAA compliance review for six years.	
717.84.371		NCAA COMPLIANCE RECORDS	Including squad list, graduation rates disclosure records.		10					Subject to NCAA compliance review for ten years.	
717.84.372		NCAA COMPLIANCE RECORDS	Including information and sports sponsorship, and designation of institutional representatives.	AC	6			AC=Graduation or termination of enrollment, whichever is later.			
717.84.373		RULES & REGULATIONS	Including NCAA rules- interpretations records and/or files and documentation to substantiate the dissemination and communication of rules and education material.	US	10					Subject to NCAA review.	

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717.84.374		DAILY INJURY REPORT		AC	5			AC= After graduation or date of last attendance or after case closed, whichever is later.			
717.84.375		INSURANCE CLAIM FILES	Including claims for injuries to student athletes and correspondence.	AC	3			AC= Resolution of claim.			
717.84.376		TEAM ROSTERS AND PHOTOGRAPHS	Including photographic documentation of athletic activities.		10				I		
717.84.377		MEDICAL RECORDS		AC	7			AC= the last date of treatment.			22 TAC 165.1(b)
717.84.378		RECRUITMENT MATERIALS	Advertisement tear sheets, direct mail pieces, promotional literature, and similar material used to recruit students.		3					JC3900-05	
717.84.415		SOUTHWESTERN ATHLETIC CONFERENCE (SWAC) COMPLIANCE RECORDS	Documents required to be retained by SWAC for compliance reasons.	AC	6			AC=Graduation or termination of enrollment, whichever is later.	O	ARCHIVAL NOTE: Contact University archives for assessment of value.	
717.84.379		STUDENT ADVISEMENT FORM		AC	5			AC=Graduation or termination of enrollment, whichever is later.			
717.85.380		LOG SHEET - COMPLAINT AND TREATMENT			5						
717.85.381		SUPPLY USAGE RECORDS	Documents related to the usage of University supplies.	FE	1						

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717.85.382		PATIENT FILES - MEDICAL HISTORY, DIAGNOSIS & TREATMENT		AC	7			AC= Date of last service.		Or, retain until patient reaches age 21, whichever is longer. Note: 22 TAC Part 9 - TEXAS MEDICAL BOARD Sec. 165.1(b): "(1) A licensed physician shall maintain adequate medical records of a patient for a minimum of seven years from the anniversary date of the date of last treatment by the physician. (2) If a patient was younger than 18 years of age when last treated by the physician, the medical records of the patient shall be maintained by the physician until the patient reaches age 21 or for seven years from the date of last treatment, whichever is longer."	
717.85.383		LOG SHEETS - PATIENTS SIGN-IN SHEETS			5						
717.85.384		PHYSICAL EXAMS FOR ADMISSIONS	Documents related to physical exams required for admission.	AC	7			AC= After case closed or after graduation, whichever is later.			
717.85.385		CLINICAL MEDICAL HISTORY CARDS	Includes client complaint, the treatment and recommendation.	AC	7			AC= After case closed or after graduation, whichever is later.			
717.85.386		INCIDENT REPORTS		AC	7			AC= After case closed or after graduation, whichever is later.			

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717.85.387		INSURANCE RECORDS	Health insurance claims filed, claims paid, and related correspondence for patients treated at Student Health Clinic	AC	7			AC= After case closed or after graduation, whichever is later.			
717.86.388		INCIDENT REFERRAL FORMS		AC				AC= After case closed or after graduation, whichever is later.			
717.86.389		JUDICIAL HEARING FORMS (COMPLETED)		AC				AC= After case closed or after graduation, whichever is later.			
717.86.390		INCIDENT REPORTS		AC				AC= After case closed or after graduation, whichever is later.			
717.86.391		REFERRALS	Listing of persons referred to the Student Health Clinic including social security numbers, source of referral and reason for referral.	AC				AC= After case closed or after graduation, whichever is later.			

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717.86.392		COUNSELING NOTES	Students and employees including referrals, assessment of case, problem identification, treatment plan and recommendation and/or follow-up, if any, authorization to release information.	AC						Licensed Psychologists 22 TAC Part 21 - TEXAS STATE BOARD OF EXAMINERS OF PSYCHOLOGISTS Sec. 465.22(d): "In the absence of applicable state and federal laws, rules and regulations, records and test data shall be maintained for a minimum of seven years after termination of services with the client or subject of evaluation, or three years after a client or subject of evaluation reaches the age of majority, whichever is greater." Professional Counselors 22 TAC Part 30 - TEXAS STATE BOARD OF EXAMINERS OF PROFESSIONAL COUNSELORS Sec. 681.41(q): "Records held by a licensee shall be kept for a minimum of five years from the date of the last contact with the client"	