

Figure: 13 TAC §6.10(b)

Texas State University Records Retention Schedule (URRS)

2nd Edition



SLRM
STATE AND LOCAL
RECORDS
MANAGEMENT

Texas Administrative Code, Title 13, chapter 6, Section 6.10(b)

TEXAS STATE LIBRARY AND ARCHIVES COMMISSION

CAUTION

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

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

INQUIRIES AND COMMENTS REGARDING THIS SCHEDULE SHOULD BE
DIRECTED TO:

TEXAS STATE LIBRARY AND ARCHIVES COMMISSION
STATE AND LOCAL RECORDS MANAGEMENT DIVISION
PO BOX 12927, AUSTIN, TEXAS 78711-2927
512-463-7610

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INTRODUCTION

The University Records Retention Schedule (URRS) is adopted as an administrative rule of the Texas State Library and Archives Commission (TSLAC) and supersedes the schedule of December 10, 2019.

This retention schedule indicates the minimum length of time records series must be retained by a public university or institution of higher education in the State of Texas before destruction or archival preservation. The URRS does not take the place of a university's retention schedule but is to be used by the university to develop and update its schedule. Additionally, the URRS does not replace the Texas State Records Retention Schedule (RRS). Both the URRS and RRS are to be used by universities to develop and update their own schedules for approval by TSLAC. Records series listed on the URRS are those that are commonly found in most public universities.

The retention periods given in the URRS are required minimums; TSLAC also recommends them as appropriate maximum retention periods. Some agencies may need to keep some of the records listed for longer periods; agency legal staff should be consulted. For individual records series, there may be requirements in law or regulation for submitting copies of records to other state agencies. Each agency should determine any requirements for filing copies that may apply to the agency's specific records series.

In addition to the common records listed in the URRS, each agency has unique records series that must be included in its retention schedule. Each agency must submit a complete records retention schedule, entered on Form SLR 105, or an approved facsimile, to the State and Local Records Management Division of the Texas State Library and Archives Commission (Government Code, §441.185).

If a federal or state statute or regulation specifies a longer retention period for any records series received, created, or maintained by an agency, the statute or regulation overrides this schedule.

EXPLANATION OF FIELDS

RECORDS SERIES ITEM NUMBER—Records series item numbers are assigned by the State and Local Records Management Division of the Texas State Library and Archives Commission.

RECORDS SERIES TITLE—The most general titles possible have been chosen. Explanations are provided for those titles which are not self-explanatory.

ARCHIVAL—Those records series that must be reviewed or transferred to the institutional/university archives for long-term preservation. Archival codes (I or O) are shown in the lower right corner of each page of the schedule.

RETENTION PERIOD—Retention is expressed in years unless otherwise noted. Retention codes are listed in the lower left corner of each page of the schedule.

REMARKS—This column contains citations additional information regarding records retention requirements.

LEGAL CITATION—This column contains citations to applicable federal or state laws or regulations affecting retention.

EXPLANATION OF CODES

ARCHIVAL CODES:

I—The records must be transferred to the institutional/university archives for long-term preservation.

O—The institutional/university archives must be contacted for an archival review of the records before disposition. Those records determined to be archival must be transferred to the institutional/university archives for long-term preservation.

RETENTION CODES: All numbers used with retention periods are expressed in years unless otherwise indicated.

AC—After Closed (or terminated, completed, expired, or settled): The record is related to a function or activity with a finite closure date.

AV—As Long as Administratively Valuable: The immediate purpose for which the record was created has been fulfilled and any subsequent need for the record to conduct the operations of the university, if any, has been satisfied.

CE—Calendar Year End: December 31.

FE—Fiscal Year End: August 31.

LA—Life of Asset: The record is retained until the deposit of the asset.

PM—Permanent: A record that possesses enduring legal, fiscal, or administrative value and must be preserved permanently by the university.

US—Until Superseded: The record is replaced by an updated version. If a record subject to this retention period is discontinued or is no longer required by law, the date of supersession is the date the decision to discontinue the record is made or the law takes effect. If the record relates to an employee, the date of supersession is the date of termination or the last date the record is needed with reference to the employee, as applicable.

EXPLANATION OF TERMS

ARCHIVES NOTE—Emphasizes the need for action/attention by university to ensure records with archival value are properly maintained/retained.

CFR—Code of Federal Regulations. Regulations of federal agencies adopted under authority of laws enacted by the U.S. Congress.

RECORD COPY—The document which is kept on file as an original or official record for the retention period. It is distinct from a “working” or “convenience” copy, which is a duplicate used for reference purposes.

Caution: Care must be taken by records management officers in determining if duplicate records are, indeed, convenience copies or if two or more copies of the same document must be considered record copies. It is very possible for the same document to be present in two or more units of a university and be the record copy in each unit if it serves a different function in each of those units.

RECORDS SERIES—A group of identical or related records with the same function and the same retention period that is evaluated as a unit for retention scheduling purposes.

RETENTION PERIOD—The amount of time a records series must be retained before destruction or archival preservation.

RRS—State Records Retention Schedule, 13 TAC 6.10(a).

STATE PUBLICATION—Information in any format that is produced by the authority of or at the total or partial expense of a state agency or is required to be distributed under law by the university and is publicly distributed. The term does not include information the distribution of which is solely limited to contractors with or grantees of the agency, staff persons within the agency or within other government agencies, or members of the public under a request made under the Public Information Act, Government Code, Chapter 552. The term includes but is not limited to: a publication distributed in print; on microform; as audiovisual material; as interactive media or on electronic external storage device; as an online publication; which is an index to other online publications; as one or more text, graphic, or other digital files; or as a user interface to a computer database.

TAC—Texas Administrative Code. Regulations of state agencies adopted under authority of laws enacted by the Texas Legislature.

URRS—University Records Retention Schedule 13 TAC 6.10(b).

AMENDMENT NOTICE

Occasionally, a records series will be deleted from this schedule because it has been determined that it is not a record maintained in most agencies, but it may remain a specialized record in some agencies.

Missing numbers in the Records Series Item Number sequence indicate that in prior editions of this schedule a records series was eliminated, combined with another records series, or was re-numbered.

Category 11: University Administrative Records

Section 11.1—General University Administrative Records

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
11.1.001	Alumni Association Program Records	Records documenting the implementation of programs administered by the office such as marketing products, credit cards, insurance, dues information, and football tickets.	5	O		
11.1.002	Alumni Records	Alumni affair records. May include but not limited to: lists of alumni club members, degree recipients, or class officers; minutes, bylaws and directories of clubs; and promotional materials concerning annual gatherings, homecoming, and alumni services.	AV	I	See RSIN <u>5.1.004</u> for alumni mailing list.	
11.1.003	Award Administration and History Records	Records documenting the administration, rules, and history of awards, fellowships, and scholarships based on merit or achievement. May include but not limited to: eligibility terms and selection criteria; award history and information on funding sources; award notifications; summary lists of winners, and biographies of winners.	AC	O	AC = Termination of award. ARCHIVES NOTE: Only institutional awards merit archival review. Department-level awards do not need to be reviewed for archival value. See RSIN <u>1.1.019</u> for press releases. See RSIN <u>11.1.004</u> for award selection committee records.	

Retention Codes – See page ii for caution statement.

AC – See event trigger for specific records series definition

AV – Administratively valuable

CE – Calendar year end

FE – Fiscal year end

LA – Life of asset

PM – Permanent

US – Until superseded

Archival Codes

I – Transfer to university archives

O – Review by university archives

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
11.1.004	Award Selection Records	Selection committee records for institutional faculty, staff, students, and alumni considered for awards, fellowships, and scholarships based on merit or achievement. May include but not limited to: applications and supporting documents; letters of award notification, acceptance, or denial; vote tallies and ranking sheets.	2		See RSIN 3.1.037 for records of an employee receiving an award. See RSIN 11.1.003 for award administration and history records.	
11.1.006	Event Administration Records—Routine	Records created in the planning or administration of routine events, such as: reports; promotional materials; press releases and news clippings; photographs; presentation materials; schedules of speakers and activities; registration and attendance lists; participant evaluations; room reservation lists; and catering services orders.	AC+1		AC = Completion of the event. CAUTION: Use this records series in conjunction with RRS Section 4.1 for financial records, RSIN 5.1.001a/b for written agreements or contracts, and RRS Section 5.3 for purchasing records. See RSIN 11.1.007 for records of special events.	

Retention Codes – See page ii for caution statement.

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
11.1.007	Event Administration Records—University Special Events	Materials related to the planning and arrangement of informative sessions, special lecture series, lectureships, short-courses, workshops, training programs, excursions, and celebratory events for members of the institution and the communities it serves. May include but not limited to: promotional and publicity materials; press releases and news clippings; photographs; presentation materials and handouts; honoraria records; schedules of speakers and activities; registration and attendance lists; participant evaluations; and related documentation and correspondence.	AC+4	O	AC = Completion of the event. See RSIN <u>11.1.006</u> for routine event administration records.	
11.1.010	Permit and License Issuance	Issuance of permits and licenses by the institution for sales, solicitation, facility usage, and similar activities.	AC+2		AC = Expiration, cancellation, revocation, or denial. CAUTION: See RSIN <u>5.6.009</u> for parking permits. See RSIN <u>16.4.001</u> for alcoholic beverage control records.	

Retention Codes – See page ii for caution statement.

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
11.1.013	Subject Files—Executive	Subject files documenting the executive actions of a state university. The series includes information in the form of correspondence and memoranda, policy statements, organization and program development records, reports concerning accreditation requirements, budget material, faculty and student relations, personnel matters, tenure and salary issues, physical plant development, grant awards, research programs, foundation endowments, fiscal accountability, academic requirements, student athletic issues, and other related topics. These records reflect administration of policies, coordination of institution functions, and overall management of major divisions and departments of a state university.	4	I		

<p>Retention Codes – See page ii for caution statement. AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end</p>	<p>FE – Fiscal year end LA – Life of asset PM – Permanent US – Until superseded</p>	<p>Archival Codes I – Transfer to university archives O – Review by university archives</p>
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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
11.1.014	Subject Files—Media and Communications	Subject files providing background information on institutional faculty and staff, buildings, events, traditions, and other special topics that document a university's history and culture. The records may be used to support research, in responses to inquiries, and other purposes. May include but not limited to: newspaper clippings; photographs; published and unpublished historical sketches; pamphlets; statistics; ephemera; biographical sketches; vitae; videos; personal history data sheets; newspaper clippings; retirement notices; funeral programs; and obituaries.	AV	O	See RSIN 1.1.019 for press releases. See RSIN 1.1.020/1.1.021 for Public Information Requests. See RSIN 1.1.057 for classification of materials that are weeded out (as unusable, almost-duplicates, etc.)	
11.1.015	University Committee Records	Records of standing, advisory, and ad hoc committees and councils made up of members from a department, a college, a variety of units, or an office where policies and procedures are set. May include but not limited to: agendas; meeting minutes; reports; discussion of research and raw data; working papers; and related documentation and correspondence.	3	O	CAUTION: Federal or state regulations may require longer retention periods. The university must consider any applicable federal or state regulations in establishing a retention period for each committee's records. See RSIN 1.1.063 for Staff Meeting Minutes and Notes. See Section 17.3 for review board records related to research.	

Retention Codes – See page ii for caution statement.

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Category 12: University Personnel Records

Section 12.1—Employee Records

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
12.1.001	Faculty Tenure Records	Evaluations, recommendations, and similar documentation relating to the review process for tenure for all faculty or staff in the tenure track.	AC+2	O	AC = Date of the making of the record or the personnel action involved, whichever occurs later. CAUTION: Retention period should be longer if a university's tenure review cycle requires it. For employment performance and appraisal records, see RRS Section 3.1 .	29 CFR 1602.49.
12.1.002	International Scholars Records—J-1 Exchange Visitor Files	Documentation of the short-term appointment of nonimmigrant international scholars as visiting faculty, specialists, researchers, and trainees. May include but not limited to: Form DS-2019, and related documentation such as: descriptions of work to be performed; methods of financial support; copies of passports; check-in forms; and telephone log sheets.	AC+3		AC = End of participation in program.	22 CFR 62.10(g).

Retention Codes – See page ii for caution statement.

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
12.1.003	International Scholars Records—Immigrant Petition File	Includes documentation of an institution’s sponsorship of an applicant using United States Citizenship and Immigration Services (USCIS) Form I-140 (Immigrant Petition for Alien Worker).	AC+5		AC = Date applicant granted lawful permanent residence by USCIS or no longer employed by the institution, whichever earlier.	8 CFR 204.5.
12.1.004	International Scholars Records—Labor Certification (PERM)	Application and approval of international scholars for permanent immigrant status. May include but not limited to: Application for Permanent Employment Certifications (Department of Labor (DOL) Form ETA 9089); Application for Alien Employment Certification (DOL Form ETA 750); recruitment reports; copy of job advertisement in national professional journal; and wage determinations.	AC+5		AC = Date of filing.	20 CFR 656.10(f), 29 CFR 1602.49.
12.1.005	International Scholars Records—Nonimmigrant Visa Petition Files	Includes both internal documents and forms submitted and inspected by the U.S. Citizenship and Immigration Services (USCIS), including Form I-129, Petition for a Nonimmigrant Worker and related materials for H1-B, H-1B1, and E-3 visas.	AC+1		AC = Date individual no longer employed by the institution in sponsored nonimmigrant status or application is withdrawn.	20 CFR 655.760(c), 8 USC 1184.

Retention Codes – See page ii for caution statement.
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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
12.1.007	Tax Documentation for International Scholars	Tax documentation for international students' and scholars' acquisition of social security numbers. May include but not limited to: social security number applications; statements of information; photocopies of social security cards; and related documentation.	AC+3		AC = Date of application.	

<p>Retention Codes – See page ii for caution statement. AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end</p>	<p>FE – Fiscal year end LA – Life of asset PM – Permanent US – Until superseded</p>	<p>Archival Codes I – Transfer to university archives O – Review by university archives</p>
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Section 12.2—Personnel Administration

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
12.2.001	International Scholars Exchange Program Administration Records	International exchange visitor selection records, pre-arrival information provided to visitors, program orientation materials, and monitoring of visitors and their dependents.	3			22 CFR 62.10(g).

Retention Codes – See page ii for caution statement.

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Section 12.3—Time and Leave

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
12.3.001	Timecards and Time Sheets—Work-Study Students	Timecards, time sheets, and work-study time certificates documenting hours worked by work-study student employees. The series is used for payroll purposes and to meet federal requirements for documenting time worked by work-study students.	AC+3		AC = End of award year for which the aid was awarded and disbursed. See RSIN <u>3.4.006</u> for all other timecards and time sheets, including those of non-work-study student employees.	34 CFR 668.24(e)(1), 34 CFR 675.19(b).

Retention Codes – See page ii for caution statement.

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Archival Codes

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Category 13: University Fiscal Records

Section 13.1—Worksheets, Detail Information on Financial Event or Transaction

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
13.1.001	Ticket Sales Management	Logistics and management of ticket disbursement for university-sponsored performing arts and other non-athletic events where tickets are sold for admission. May include but not limited to: ticket stock orders; ticket type reports; total ticket sales summaries and reports; ticket printing and control records; season ticket sales lists; free ticket sign-up sheets; and reports of free ticket disbursement.	FE+3		See RSIN 4.1.009 for records of financial deposits or receipts.	

Section 13.2—Other Fiscal

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
13.2.001	Donor Files	Includes individual donor and prospective donor files.	AC	I	AC = Prospect ceases to be viable. CAUTION: Includes donor or prospective donor information only. For records of gifts, see RSIN 13.2.003 and 13.2.005 .	

Retention Codes – See page ii for caution statement.

AC – See event trigger for specific records series definition

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Archival Codes

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
13.2.003	Gift and Fundraising Records	Records of gifts given to the agency. May include but not limited to: gift and donor lists; gift histories; gift placement arrangements; departmental endowments and trusts raised by support and “friends” groups; fundraising efforts; pledges; and background on previous donations.	7	O	See RSIN <u>13.2.005</u> for records documenting potential or realized major funding to the institution such as endowments and trusts.	
13.2.005	Gift Records—Institutional	Potential or realized private, corporate, or public agency funding to the institution, including major endowments and trusts. May include but not limited to: letters and agreements of gift, copies of bequest instruments and wills from individuals or estates, and related documentation and correspondence.	PM	I		

Retention Codes – See page ii for caution statement.

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Archival Codes

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Category 14: University Support Services Records

Section 14.1—[withdrawn]

Category 15: Student Records

Section 15.1—Admissions and Assessment

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
15.1.001	Admissions Records— Enrolled/Accepted	Applications and supplemental materials submitted by individuals, including international students, seeking admission and enrolling in the institution or a university program. May include but not limited to: acceptance letters; applications for admission; entrance exam reports; letters of recommendation; health history forms; readmission forms; recruitment materials; test scores; residency classification forms; transcripts from other colleges; and transcripts from high school.	AC+3		AC = Graduation, date of last attendance, or separation from program, as applicable. CAUTION: International student academic records must be retained at least 1 year after final notice to USCIS.	8 CFR 214.3(g).

Retention Codes – See page ii for caution statement.

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
15.1.002	Admissions Records—Not Enrolled/Denied	Denied applications or applications that were approved but applicant did not enroll in institution or program (includes international applicants). May include but not limited to: acceptance letters; applications for admission; entrance exam reports; letters of recommendation; health history forms; readmission forms; recruitment materials; test scores; residency classification forms; transcripts from other colleges; and transcripts from high school.	AC+1		AC = End of application term. CAUTION: International student academic records must be retained at least 1 year after final notice to USCIS.	
15.1.006	Standardized Test Administration Records	Records of the services rendered to clients for standardized tests and admissions exams for partner organizations, such as SAT, ACT, GRE, MCAT, PCAT, GMAT, NTE, VCAT, and TOEFL. May include but not limited to: testing rules and regulations; rosters of test takers; seating charts; and supervisors' reports.	AC+1		AC = End of testing period. CAUTION: Testing centers must retain records of testing according to the procedures and requirements established by the contracting organization. CAUTION: This series does not include test scores. See RSIN <u>4.1.009</u> for testing payment vouchers.	
15.1.007	Residency Affidavits and Documentation	Affidavits and declarations filed by students regarding state residency status which is critical for determining tuition status.	AC+3		AC = Graduation, or date of last attendance. See RSIN <u>15.1.002</u> for residency classification forms submitted by applicants who did not enroll.	Texas Education Code, 54.052.

Retention Codes – See page ii for caution statement.

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Section 15.2—Academic Records

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
15.2.001	Academic Action Authorizations	Authorizations for academic actions, such as academic probation, suspensions, dismissals, reinstatements, etc.	AC+3		AC = Graduation or date of last attendance. See RSIN <u>15.5.007</u> for disciplinary action records.	
15.2.002	Advanced Placement and Credit Records—Awarded	Transfer credit evaluations, national or state standardized test scores and reports (e.g., CLEP, AP, Departmental, IB, SAT II, DSST), credit by examination authorizations and reports, military course documentation (e.g., USAFI) and evaluations, non-traditional transcripts and credentials, life experience records, requests for advanced credit, and similar documentation used by a university to evaluate and determine award of credit by advanced placement.	AC+3		AC = Graduation or date of last attendance.	
15.2.003	Advanced Placement and Credit Records—Not Awarded	Denied requests for transfer credits and/or advanced placement.	AC+1		AC = End of academic year in which decision made.	

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
15.2.007	Course Registration and Status Records	Registration forms, class rosters, class schedules, and similar records providing information on which courses students are registered for at the beginning of an academic term, including documentation evidencing the conditions under which courses are undertaken (e.g., audit, pass/fail, and credit/no credit authorizations or approvals) or evidencing changes to registration status during the term (e.g., add/drop forms and withdrawal authorizations by student or instructor).	AV			
15.2.008	Curriculum Change Authorizations	Student requests to change their field of major study, add or remove a simultaneous major, or add or change a minor.	AV			
15.2.009	Departmental Student Information Files	Up-to-date departmental information on students' activity from point of enrollment to graduation or date of last attendance. May include but not limited to: personal data, graduate student qualifying examinations, placement tests, partial transcripts, and evidence of graduation or last date of attendance	AC+3		AC = Student separation from the department or institution. CAUTION: International student academic records must be retained at least 1 year after final notice to USCIS. See RSIN <u>15.2.026</u> for student advising records. See RSIN <u>15.5.007</u> for disciplinary action records.	

Retention Codes – See page ii for caution statement.

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
15.2.010	Enrollment Census Reports (4th and 12th Class Day Rosters)	Attendance reports prepared by faculty on class census day and used as source documentation for enrollment reports submitted to the Texas Higher Education Coordinating Board (THECB).	FE+3			
15.2.011	Faculty Grade Book	Faculty grade books showing students' performance in the course and work completed. Includes grade sheets and other materials that permit a reconstruction of a student's graded performance in a course.	AC		AC = Expiration of grade appeal period. See RSIN <u>15.2.012</u> for official Registrar copies of grades.	
15.2.012	Original Grade Sheets and Grade Changes	Permanent record cards, grade cards, grade sheets, and grade change forms serving as the basis for students' official academic records. Grade sheets may include student names and social security numbers or ID numbers; course titles and numbers; sections; grades awarded; and instructors' signatures.	PM		CAUTION: This retention period applies to records of the Registrar. See RSIN <u>15.2.011</u> for departmental copies of grade sheets.	

Retention Codes – See page ii for caution statement.

AC – See event trigger for specific records series definition

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
15.2.013	Student Coursework and Grade Reports	Student coursework (e.g., examinations, quizzes, papers) in custody of institution that is needed as supporting documentation for grade books and grade report cards distributed to students.	AC+1		AC = Course completion. CAUTION: Coursework under dispute may not be destroyed until the resolution of the dispute. See RSIN <u>15.2.009</u> for graduate student qualifying examinations. See RSIN <u>15.2.011</u> for grade book. See RSIN <u>15.2.030</u> for theses and dissertations.	
15.2.014	Graduation and Diploma Administration	Student applications for graduation, degree audit forms, graduation authorizations, and diploma distribution records.	AC+1		AC = Graduation or last date of attendance.	
15.2.017	Hazlewood Act Documentation	Applications and student eligibility determinations to claim the Hazlewood exemption and institutional records to track benefit hours claimed.	AC+3		AC = Last date of attendance, or date application denied, as applicable. See RSIN <u>15.2.033</u> for Veterans Affairs Records .	40 TAC 461.130.
15.2.019	Holds and Encumbrances	Documents used to place and remove holds on registration, student services, or the release of transcripts or other academic data until the subject of the hold/encumbrance takes a specific action.	AC		AC = Date of release.	

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
15.2.020	Independent Study Records	Departmental approval for students to enroll in independent study courses. May include but not limited to: permission sheets with students' names; course names; number of credits; and faculty signatures.	AC+2		AC = Student separation from the department or institution.	
15.2.021	Internship Applications— Not Enrolled/Denied	Applications for internship programs for which student was denied or did not enroll.	AC+1		AC = End of academic term in which internship occurred. See RSIN <u>15.2.022</u> for other internship program records.	
15.2.022	Internship Program Records	Administration of student internship, practicum, and cooperative education programs. May include but not limited to: applications for internships inside and external to the institution; agreements with departments; postings/notices; student resumes; and proposed institution listings.	AC+3		AC = End of academic term in which internship occurred. See RSIN <u>15.2.021</u> for internship applications for which student was denied or did not enroll.	
15.2.023	Personal Data and Name Change Records	Student or applicant name changes, change of address forms, race/ethnicity questionnaires, and similar source documentation used to update personal data information on transcripts or other student records.	AV			

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
15.2.026	Student Advising Records	Academic advising records, including advisors' notes, advising checklists, and unofficial or partial copies of grade reports.	AC+3		AC = Student separation from the department or institution. See RSIN 18.2.005 for student athlete reporting requirements.	
15.2.027	Student Certification Records—Academic	Student completion of certificate programs offered by university academic programs.	AC+5		AC = Date of last attendance. CAUTION: Transcript notes regarding academic certifications awarded are maintained permanently by the Registrar. See RSIN 15.2.028 for professional certification records (e.g., teacher certification records).	
15.2.028	Student Certification Records—Professional	Certification records for licenses or certificates to enter a profession (e.g., teaching certificates). May include but not limited to: applications for admission to a program; registration for practicum hours and evidence of the completion of the practicum; transcripts; narrative evaluations on practicum; notice of completion of hours required for certification; and recommendations and evaluations.	AC+1		AC = End of certification period. CAUTION: Accrediting agencies may require longer retention periods for professional certification records. Refer to accrediting agency to determine the term of the certification period. See RSIN 15.2.027 for academic certifications.	
15.2.030	Thesis and Dissertation Records	Final accepted copies of theses and dissertations presented to colleges in fulfillment of requirements for graduate degrees.	PM	I		

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
15.2.032	Transcripts	Transcript, or a record equivalent in function, of the academic achievement of each enrolled student, documenting courses taken, credits granted, grades received, and any degrees or certifications awarded (including any narrative assessments or evaluations prepared in lieu of an assigned grade).	PM			
15.2.033	Veterans Affairs Records	Certification of Enrollment reports required by the U.S. Department of Veterans Affairs (VA) and individual veteran student records that certify to the VA that the student is eligible for educational benefits, is currently enrolled at the institution in a qualifying curriculum and is maintaining standards required to receive entitlements.	AC+3		AC = Graduation, date of last attendance, or end of certification period, as applicable. See RSIN <u>15.2.017</u> for Hazlewood Act documentation.	38 CFR 21.4209(f), US Department of Veterans Affairs School Certifying Official Handbook.
15.2.035	Non-Academic Withdrawal Records	Requests and authorizations for a student to withdraw from classes after calendar deadlines without academic penalty for reasons acceptable to a university such as health or family issues	AV			

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Section 15.3—Financial Aid and Scholarship Records

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
15.3.002	Financial Aid Application, Award, and Disbursement Records—All Federal, State, Local, and Institutional Grants, Scholarships, and Work-Study Programs	Approved student applications and disbursement records for all local, state, federal, or institutional grants, scholarships, and work-study programs not covered elsewhere in schedule. May include but not limited to: financial aid need analysis and eligibility forms; financial aid transcripts; copies of documents submitted by students or parents for verification of student aid application information; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors; work-study certifications and time reports; documentation of entrance and exit interviews; and correspondence. Includes Federal Work-Study (FWS), Federal Supplemental Educational Opportunity Grant (FSEOG), and Pell Grant records.	AC+3		AC = End of the award period, or submission of annual report for the award year, whichever later. See RSIN 15.3.010 for veterans' assistance programs.	34 CFR 668.24(e), 34 CFR 675.19(b)(1), 34 CFR 676.19(b), 34 CFR 690.82(a).

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
15.3.003	Financial Aid Application and Award Records—All Federal, State, Local, and Institutional Loan Programs	Financial aid applications for federal, state, local, or institutional loans not included elsewhere in schedule, including Income Contingent Loans (ICL), Perkins Loans, Federal Family Education Program Loans (Stafford Loans, Unsubsidized Stafford Loans, Federal PLUS Loans, and Federal Consolidation Loans) and Direct Loans (Direct Unsubsidized Loans, Direct PLUS Loans, and Direct Consolidation Loans). May include but not limited to: approved student applications; Student Aid Report (SAR) or institutional Student Information Record (ISIR) used to determine eligibility for Title IV, HEA program funds; documentation of each student's or parent borrower's eligibility; loan counseling; and data verification forms and reports.	AC+3		AC = End of the award period, or submission of annual report for the award year, whichever later. See RSIN <u>15.3.005</u> for Health Profession and Nursing Student Loan program applications.	34 CFR 668.24(e), 34 CFR 674.19(e)(3), 34 CFR 682.610(a)(2).
15.3.005	Financial Aid Application and Award Records—Health Profession and Nursing Student Loan Programs	Approved student applications; documentation of financial aid; financial aid transcript; student's name, address, academic standing, and period of attendance; and loan and tuition details.	AC+5		AC = Termination of enrollment. CAUTION: May include obsolete Health Education Assistance Loans (HEAL).	42 CFR 57.215(b), 42 CFR 57.315(a)(2), 42 CFR 60.56(b).
15.3.007	Financial Aid Application and Award Records—Non-Awarded	Denied applications for financial aid.	AC+1		AC = End of academic period for which aid denied.	

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
15.3.010	Financial Aid Application, Award, and Disbursement Records—Veterans Administration Education Assistance Allowances	Approved student applications and disbursement records for Veterans Administration (VA) benefits. May include but not limited to: financial aid need analysis and eligibility forms; financial aid transcripts; copies of documents submitted by students for verification of student aid application information; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors; and documentation of entrance and exit interviews.	AC+3		AC = Termination of enrollment.	38 CFR 21.4209(f).

<p>Retention Codes – See page ii for caution statement. AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end</p>	<p>FE – Fiscal year end LA – Life of asset PM – Permanent US – Until superseded</p>	<p>Archival Codes I – Transfer to university archives O – Review by university archives</p>
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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
15.3.011	Financial Aid Disbursement and Repayment Records— All Federal, State, Local, and Institutional Loan Programs	Disbursement and repayment records for loans not included elsewhere in schedule, including Income Contingent Loans (ICL), Perkins Loans, Federal Family Education Program Loans (Stafford Loans, Unsubsidized Stafford Loans, Federal PLUS Loans, and Federal Consolidation Loans) and Direct Loans (Direct Unsubsidized Loans, Direct PLUS Loans, and Direct Consolidation Loans). May include but not limited to: receipts; account cards documenting amount of loan, payment period, and loan period; calculations used to determine amount awarded; date and amount of each disbursement; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; amount, date, and basis of institution's calculation of any refunds or overpayments due if student withdraws; overpayments; documentation of entrance and exit interviews; records of contacts concerning overdue loans; and correspondence between the university and the borrower, collection agencies, and credit bureaus.	AC+3		AC = Date of final repayment or cancellation. See RSIN <u>15.3.018</u> for Health Profession and Nursing Student Loan program payments. See RSIN <u>15.3.026</u> for Perkins Original Promissory Notes.	34 CFR 668.24(e), 34 CFR 674.19(e)(3), 34 CFR 682.610(a)(2).

Retention Codes – See page ii for caution statement. AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of asset PM – Permanent US – Until superseded	Archival Codes I – Transfer to university archives O – Review by university archives
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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
15.3.018	Financial Aid Disbursement and Repayment Records— Health Profession and Nursing Student Loan Programs	Disbursement and repayment records for health profession and nursing student loans. May include but not limited to: documentation of amount and date of each loan, payment dates, deferment documentation, and correspondence related to overdue and uncollectible loans.	AC+5		AC = Date of retirement of loan. CAUTION: May include obsolete Health Education Assistance Loans (HEAL).	42 CFR 57.215(c), 42 CFR 57.315(a)(3).
15.3.023	Financial Aid Programs	Documentation of the university's participation in financial aid programs, such as program participation agreements and required reports.	AC+3		AC = End of award year in which all reporting is finalized.	34 CFR 668.24(e)(1)(i), 324 CFR 674.19(e)(3)(i), 34 CFR 675.19(b)(1), 34 CFR 676.19(b), 45 CFR 74.53(b), 34 CFR 690.82(a).
15.3.026	Perkins Original Promissory Notes	Promissory notes for student loans negotiated for the current academic year.	AC		AC = Until loan is satisfied, or documents are needed to enforce obligation. CAUTION: If original promissory notes are electronically signed, the signed master promissory note (MPN) must be kept 3 years after all the loans made on the MPN are satisfied.	34 CFR 674.19(e)(4).

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
15.3.027	Tuition Exemption and Remission Records	Applications for and supporting documentation evidencing the grant of tuition exemptions or remissions. May include but not limited to: authorizations; reconciled lists; and account summaries.	AC+3		AC = End of award year. See RSIN <u>15.2.017</u> for Hazlewood Act records.	
15.3.028	Tuition Rebate Documentation	Tuition rebate forms and any supporting documentation pertaining to a college tuition rebate program.	AC+5		AC = Graduation or date of last attendance.	Texas Education Code, 54.0065.

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Section 15.4 Student Privacy Records

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
15.4.002	Access Waiver Records	Waivers completed by students to allow or revoke access to confidential letters and confidential statements of recommendation.	AC		AC = Final disposition of record to which waiver applies.	
15.4.003	Disclosures	Record of each request for access to and each disclosure of personally identifiable information from the educational records of a student under the Family Educational Rights and Privacy Act (FERPA): documentation of requests from and disclosures to any party other than the student, an official of the university for what the university has determined are legitimate educational interests, a party with or without written consent from the student, or a party seeking directory information.	AC		AC = As long as disclosed record is maintained. See RSIN <u>1.1.077</u> for release of non-FERPA records.	34 CFR 99.32(a)(2).
15.4.004	Protest of Record Statements	Statements by students commenting on contested information in a student record stating why he or she disagrees with a university's decision not to amend a record, or both.	AC		AC = Final disposition of record containing the contested information.	34 CFR 99.21(c)(1).

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
15.4.005	Record Amendment Requests	Requests from students to amend student records, notices by an institution of denial or consent to amendments, requests for hearings on denied requests, hearing notices, and written decisions by hearing examiners.	2			
15.4.006	Student Nondisclosure Requests	Student request to opt out of directory information disclosure.	AC		AC = Until termination of nondisclosure request.	34 CFR 99.37(b).
15.4.007	Written Consents	Written consents and waivers for information disclosure from the eligible student or student's parents.	AC		AC = Until termination of waiver.	

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Section 15.5—Other Records and Reports

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
15.5.001	Academic Standing Reports	Reports on student academic standing, including academic deficiency and the status changes of academically deficient students. May include but not limited to: reports containing student names, grade point averages (GPAs), grade point deficiencies, numbers of previous suspensions and probations; student petitions for re-evaluation; report of student progress toward academic readmission/removal of probation status at other institutions; academic honors and awards; and related documentation.	3			
15.5.002	Admissions/Enrollment Reports	Summary and statistical information relating to student admission programs which may be used for control, planning or review. May include but not limited to: Texas Higher Education Coordination Board (THECB) report; reports sent to administration; or beginning of semester enrollment reports sent to office of institutional research.	PM		For raw data or working files used to create these reports, see RSIN <u>1.1.065</u> .	

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
15.5.003	Class Lists	Official record of students enrolled in courses taught, used to cross-check students who have enrolled against those who have registered as well as in the generation of statistical reports.	AC		AC = When the list of students who have enrolled has been cross-checked with the list of students who have registered. CAUTION: Class lists often have long-term value in the generation of statistical and other reports. They should be reviewed before disposal, as some of these records may merit long-term or permanent retention.	
15.5.005	Recruitment Records	Recruitment of students based upon disadvantaged status, academic performance, and other criteria. May include but not limited to: interview notes; conversation notes; personal information forms and resumes; test scores; photographs; and academic transcripts.	AC+1		AC = End of application term. CAUTION: Does not include records of recruitment of athletes into the institution's intercollegiate athletics program. See RSIN 18.2.018 . See RSIN 16.5.010 for external recruiting records.	
15.5.007	Student Conduct/Disciplinary Action Records	Academic dishonesty and conduct violations among students. May include but not limited to: incidents reports; final reports; evidence; notification of allegation; disciplinary reports; informal discussion notes; formal hearing notes; final summary statements; decision statements; and appeals documentation.	AC+3		AC = Graduation or date of last attendance. CAUTION: For Title IX complaints, see RSIN 15.5.010 .	

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
15.5.008	Student Grievance Records	Grievances brought forward by students against the institutions which do not result in litigation. Grievances may pertain to academic issues; housing; affirmative action and equal opportunity; student conduct; and other issues. May include but not limited to: notices of grievance; informal discussion notes; grievance responses; formal hearing notes (including audio tapes); final summary statements; settlement agreements; and appeals documentation.	AC+5		AC = Graduation or date of last attendance. CAUTION: If a grievance brought forward by students against the institution becomes part of litigation, it should be retained as a litigation record per RSIN <u>1.1.048</u> . If the grievance goes to the university ombudsman, the record should be retained as an ombudsman record per RSIN <u>3.1.039</u> . CAUTION: For Title IX complaints, see RSIN <u>15.5.010</u> .	
15.5.010	Title IX Complaints	Title IX complaints, investigations, and determination of responsibility, including informal resolution or appeal.	AC+7		AC = Final resolution of issue and appeals.	34 CFR 106.45(b)(10).

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Category 16: University Services Records

Section 16.1—Health and Counseling Records

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.1.001	Abuse and Neglect Records	Documentation of abuse and/or neglect findings observed by medical staff during patient care. The findings may be incident/variance reports and evidence of child, domestic, elder, or other kinds of abuse.	AC		AC = 10 years after report date for adults, or 10 years after minor reaches the age of majority.	Code of Criminal Procedure, 12.01.
16.1.002	Adverse Drug Event Records	Records related to adverse drug events or medical occurrences in patients and others served by the institution, excluding events taking place during a research study.	5		See RSIN <u>17.3.012</u> and <u>17.3.013</u> for research data.	
16.1.003	Birth Reports	This records series consists of all necessary information for the completion of the birth certificate including baby's name, weight, height, time/date/location of birth and information on the baby's parents. The record copy of the birth certificate is retained by the Office of Vital Statistics.	AC+21		AC = Report date.	

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.1.004	Blood Bank and Transfusion Records	Documentation of all significant steps in the collection, processing, compatibility testing, storage, and distribution of each unit of blood and blood components.	AC		AC = 10 years after the records of processing have been completed or 6 months after the latest expiration date for the individual product, whichever later. CAUTION: When there is no expiration date, records must be retained PERMANENTLY. See RSIN <u>16.1.019</u> for blood donor deferrals.	21 CFR 606.160, American Blood Bank (AABB) and Standards for Blood Banks and Transfusion Services (BB/TS).
16.1.005	Brachytherapy Patient Monitoring	Radiation area surveys performed on patients treated with radioactive materials.	PM			25 TAC 289.202(ggg)(5).
16.1.006	Communicable Disease Records	Communicable disease logs and reporting records. May include but not limited to: copies of laboratory test results; name and address of patient; date; and person making referral.	3		See RSIN <u>16.1.013</u> for other laboratory test results.	25 TAC 97.2.
16.1.007	Continuing Medical Education (CME) Class Records	Records required for accreditation and administration of Continuing Medical Education (CME), Continuing Dental Education (CDE), and Continuing Nursing Education (CNE) training courses or programs, including activity and attendance records.	6		See RSIN <u>17.1.006</u> for all other continuing education records.	Accreditation Council for Continuing Medical Education (ACCME).

Retention Codes – See page ii for caution statement.

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.1.008	Mental Health Counseling Records	Professional counseling center service records. May include but not limited to: extensive notes made by providers concerning the assessment, diagnosis, treatment and contacts (written, telephone, or in person) with each client; mental health records; therapy records; psychotherapy notes; referral letters; release of information agreements; and letters to agencies or others concerning clients.	AC		<p>AC = 7 years after termination of services with client, or 5 years after client reaches age of majority, whichever greater.</p> <p>CAUTION: Follow professional licensing board rules if they require longer retention.</p> <p>CAUTION: Student athlete medical records may have additional requirements per NCAA rules. See RSIN <u>18.2.005</u>.</p> <p>See RSIN <u>16.1.025</u> or <u>16.1.026</u> for medical records.</p> <p>See RSIN <u>16.1.034</u> for psychotherapy notes.</p>	
16.1.009	Disclosure of Protected Health Information	Disclosures and policies or procedures governing the protection of Protected Health Information (PHI) in accordance with the Health Information Portability and Accountability Act (HIPAA).	AC+6		AC = Date of disclosure or last effective date of policy, whichever applicable.	45 CFR 164.528(b)(1), 45 CFR 164.530(j).

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.1.010	Donor Records—Medical	Bequeathal forms, cadaver tracking and acceptance information, death certificates, State Anatomical Board (SAB) forms, Morgue Control Sheets, and final disposition records for people who have donated their bodies, organs, or tissues to the institution.	PM		For other physical and monetary donations and gifts, see RSIN 13.2.003 .	Health and Safety Code, 691.031.
16.1.011	Medical Assistance Applications	Applications submitted on behalf of a patient to a drug company's or medical institution's assistance program.	US+1			
16.1.012	Drug Recall Notices	United States Food and Drug Administration (FDA) and manufacturer recalls on drugs. May include but not limited to: reportable occurrences of drug use; recalls through the manufacturer; and responses by departments.	AC		AC = 5 years after the records of manufacture have been completed or six months after the latest expiration date for the individual product, whichever later.	21 CFR 600.12, 21 CFR 7.59(c).
16.1.013	Final Laboratory Test Reports—Pathology	Test results and preliminary reports specific to pathology, histology, and cytology testing. Documentation includes the test requisition plus the specimen's accession number, the date and time the lab received the specimen, the condition and disposition of samples which do not meet the lab's acceptance standards, and the records and dates of performance of each step in the patient testing leading to and including the final report.	10			42 CFR 493.1105(a)(6)(ii).

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.1.014	Forensic Autopsy Records	Final forensic autopsy reports.	PM		CAUTION: This series applies only to inquests into a death occurring in a county that does not have a medical examiner's office or that is not part of a medical examiner's district.	College of American Pathologists (CAP) Recommendation.
16.1.015	Forensic Autopsy Supporting Documents	Cause of death worksheets, interview notes, and copies and reference materials from hospitals, nursing homes, ambulances, law enforcement, or other entities that may be used in the development of final autopsy report or in medical/legal cases.	AC+25		AC = Date of death.	
16.1.016	Health Assessment	Health assessment and screening records performed outside of regular treatment facilities and not entered into patient medical records (e.g., cholesterol screening, blood pressure testing, etc.).	AV		See RSIN <u>16.1.009</u> for disclosures of protected health information (PHI).	
16.1.017	Health Referrals—Denied or Not Seen	Documentation of instances where outpatients are referred to the institution by non-institutional practitioners who are denied health-related services or who are not seen by the institution.	AV			

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.1.018	Immunization Record and Consent Forms	Signed consent forms and records noting the type of immunization performed which are not included in the patient's medical record.	AC		AC = 21st birthday for minors, or 10 years following end of calendar year in which the consent form was signed, whichever later. See RSIN <u>1.1.067</u> for immunization reports required by the Texas Education Code and the Texas Health and Safety Code.	
16.1.019	Indefinite Donor Deferral List	Lists of potential donors who have been deferred indefinitely due to abnormal test results.	PM			American Blood Bank (AABB) and Standards for Blood Banks and Transfusion Services (BB/TS).
16.1.020	Laboratory Inspection Records—Calibration Records	In-house survey or calibration of laboratory equipment on a regular basis.	3		See RSIN <u>5.2.005</u> for calibration records of non-regulated equipment.	42 CFR 493.1105, 25 TAC 289.202(nn)(1).
16.1.022	Medicaid Provider Records	All records necessary to fully disclose Medicaid reimbursable services provided, including financial records relating to program services.	AC+5		AC = Date of service or until all audit questions, appeal hearings, investigations, or court cases are resolved.	1 TAC 354.1004.

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.1.023	Medical Device Recall Notices and Responses	United States Food and Drug Administration (FDA), Safe Medical Devices Act (SMDA) and manufacturer recalls on all medical, food and drug devices. May include but not limited to: reportable occurrences on devices, recalls through the manufacturer, and responses by institutional departments.	AC+2		AC = Life of device (device no longer in use, has been explanted, returned to the manufacturer, or patient has died).	21 CFR 806.20(c), 21 CFR 821.60.
16.1.024	Medical Logs	Log of patients visiting the health institution (both inpatients and outpatients) and patient encounters. The log may be used to create annual census reports and 3-year census comparisons, and it may include the date and time that the patient came in; appointment; admission; transport; dispatch; the physician assigned; diagnosis; discharge; patient photo; patient service; length of stay; remarks; case logs, and other medical logs.	3			

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.1.025	Medical Records—Hospital	Medical services history provided for patients treated by physicians, psychologists, or psychiatrists, and other medical staff at university hospitals, counseling centers, or other health institutions. May include but is not limited to: appointment requests; summary sheets; copies of test results; treatment record forms; diagnoses; screenings; initial evaluations and assessments; referrals; personal health histories; dental examinations; physical therapy notes; release forms; notes; and memoranda.	AC		<p>AC = 7 years after termination of services with client, or until client reaches 21 years of age, whichever greater.</p> <p>CAUTION: For records documenting forensic sexual assault exams, records must be retained for 20 years, per Health and Safety Code 241.1031.</p> <p>CAUTION: Student athlete medical records may have additional requirements per NCAA rules. See RSIN <u>18.2.005</u>.</p> <p>See RSIN <u>16.1.008</u> for mental health, counseling, and psychotherapy records.</p> <p>See RSIN <u>16.1.026</u> for student health clinic records.</p> <p>See RSIN <u>16.1.034</u> for psychotherapy notes.</p> <p>See RSIN <u>16.1.038</u> for medical source data.</p>	22 TAC 165.1(b).

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.1.026	Medical Records—Student Health Clinic	Medical services history provided for students treated by the student health center. May include but not limited to: appointment requests; summary sheets; copies of test results; treatment record forms; diagnoses; screenings; initial evaluations and assessments; referrals; health center billing statements; personal health histories; dental examinations; physical therapy notes; releases; notes; and memoranda.	AC		<p>AC = 7 years after termination of services with client, or until client reaches 21 years of age, whichever greater.</p> <p>CAUTION: For records documenting forensic sexual assault exams, records must be retained for 20 years, per Health and Safety Code 241.1031.</p> <p>CAUTION: Student athlete medical records may have additional requirements per NCAA rules. See RSIN <u>18.2.005</u>.</p> <p>See RSIN <u>16.1.008</u> for mental health, counseling, and psychotherapy records.</p> <p>See RSIN <u>16.1.025</u> for hospital records.</p> <p>See RSIN <u>16.1.034</u> for psychotherapy notes.</p> <p>See RSIN <u>16.1.038</u> for medical source data.</p>	22 TAC 165.1(b).

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.1.027	Medical Rotation Records—Non-Affiliated Medical Students, Residents and Fellows	Medical rotation records for medical students, residency physicians, or fellows not affiliated with this university, but are accepted to practice medicine under the supervision of a licensed physician at this hospital as part of an elective not offered at their hospital. May include but not limited to: formal request to rotate; curriculum vitae; drug test; permit to practice medicine; and evaluations.	AC+5		AC = Completion of training or date of last attendance. CAUTION: Records for affiliated students are kept with other student records, and records for affiliated residents/fellows are kept with residency records (RSIN 16.1.036 and 16.1.037).	
16.1.029	Non-Forensic Autopsy Records	Records relating to non-forensic autopsies, including reports, blocks, and slides.	10			College of American Pathologists (CAP) recommendation.
16.1.030	Patient Valuables Inventory	Inventory of patient valuables.	AC		AC = Date valuables returned or determined to be unclaimed property. See RSIN 4.5.010 for unclaimed property records.	

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.1.031a	Pharmacy Records— Prescription and Inventory	Inventory, prescription slips, and other records of the purchase, acquisition, disposal, or dispensation of drugs and controlled substances as required by federal law and regulations, state law, and the rules of the Texas State Board of Pharmacy (TSBP).	AC+2		AC = The later of the date that the record was required to be created, the record was created, or the prescription was last filled. CAUTION: See legal citations for special filing requirements for controlled substance and electronic prescriptions. See RSIN <u>17.3.018</u> for pharmacy records related to animal research.	21 CFR 1304.04(a), Health and Safety Code, 481.067(c) and 483.023, 22 TAC 291.75(a).
16.1.031b	Pharmacy Records— Personnel Log	Pharmacy log of the unique initials or identification codes which identify pharmacy personnel by name.	AC+7		AC = Date of transaction.	22 TAC 291.75(e)(1).
16.1.033	Poison Center Case Sheets	Poison Control Center calls and case sheets documenting individual poisoning or suspected poisoning incidents. Information may include date/time called, location of call, case number, name of individual, substance ingested, treatment, and medical outcome.	21			

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.1.034	Psychotherapy Notes	Notes recorded by a health care provider who is a mental health professional documenting or analyzing the contents of conversation during a private counseling session or a group, joint, or family counseling session and that are separated from the rest of the individual's medical record. Psychotherapy notes <i>exclude</i> medication prescription and monitoring, counseling session start and stop times, the modalities and frequencies of treatment furnished, results of clinical tests, and any summary of the following items: diagnosis, functional status, the treatment plan, symptoms, prognosis, and progress to date.	AC		AC = 7 years after termination of services with client, or until client reaches 21 years of age, whichever greater. See RSIN <u>16.1.008</u> for counseling records.	45 CFR 164.501.
16.1.035	Quality Assurance Records—Health Services	Quality assurance records such as documentation of equipment monitoring; checks of quality control items, and any necessary corrections; reports by the staff; quality assurance committee notes; Morbidity & Mortality (M&M) conferences for residents; chart reviews; and staff reviews.	2		CAUTION: Federal or state regulations may require longer retention periods for specific health quality assurance reports.	

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.1.036	Physician in Training (PIT) Formative Evaluations	Formative evaluations of resident physicians created during training periods.	AC		AC = After resident has graduated or until any dispute involving the resident has been resolved, whichever occurs later. See RSIN <u>16.1.037</u> for final summative evaluations.	
16.1.037	Physicians in Training (PIT) Completion Records	Records created to verify completion of residency and fellowship education requirements for accepted physicians in training. May include but not limited to: final summative evaluations; Certification of Residency; and completion of resident program.	AC+50		AC = Completion of training, or last date of training, as applicable. See RSIN <u>16.1.007</u> for Continuing Medical Education records. See RSIN <u>16.1.036</u> for formative resident evaluations.	

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.1.038	Medical Source Data	Medical source data and health information stored in any original media. May include but not limited to: paper diagnostic tests or tools; X-rays; videotapes; ultrasounds; fetal monitor strips; photographs (either conventional photos or digital images); EKG strips; and ancillary or supporting systems (e.g., pharmacy information systems and radiation oncology information systems). Source data is distinct from the written interpretations of significant clinical information that has been forwarded to the medical record.	5		CAUTION: Some source data, such as fetal monitoring strips or mammography images, may need to be kept longer. See RSIN 16.1.025 or 16.1.026 for information transcribed in medical records.	42 CFR 482.26(d)(2).
16.1.040	Student Health Insurance Records	University copies of information relating to the selection by students of health insurance offered to students through the university.	AC		AC = Until superseded or date of last attendance.	
16.1.041	Surgical Instrument Sterilization Records	Sterilization of surgical instruments used by the health institution. May include autoclave recording charts and log sheets indicating date, load number, items sterilized, and temperature/time settings.	2			

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Section 16.2—Library, Archives, and Museum

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.2.001	Circulation Records	Records documenting the borrowing of circulating library materials or equipment by qualified patrons (including courtesy and guest borrowers). May include but not limited to: the name and identification of the borrower; material due dates; and overdue item notations.	AC		AC = Transaction is completed. See RSIN <u>4.1.009</u> for fines. The disposal of circulation records need not be documented through destruction authorizations (RSIN <u>1.2.001</u>), or in records disposition logs (RSIN <u>1.2.010</u>).	
16.2.002	Archives Collection Control Records	Collection control records documenting accessioning, cataloging, preserving, and referencing. May include but not limited to: deeds of gift; appraisal reports (monetary or non-monetary); accession sheets and reports; archives transmittal lists; deaccessioning recommendations; and loss of archival materials.	PM		See RSIN <u>1.2.013</u> for archival finding aids.	

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.2.003	Collection or Artifact Loan Records	Artifact and material loans contracted between units of the institution or between the institution and either other institutions or individuals. May include but not limited to: signed and legally binding agreements for incoming and outgoing loans between the collection administrators; receipts for loans and return of materials to the legal holder; and related forms, documentation, and correspondence.	AC+7		AC = Expiration or termination of the loan agreement according to its terms. Upon the expiration of the retention period, repositories should consider transferring loan records to RSIN 16.2.002 if they possess continuing reference or administrative value.	
16.2.006	Exhibit Records	Exhibit records documenting the display and use of artifacts and materials. May include but not limited to: artifact labels or placards; photographs of exhibits; exhibit renderings; and exhibit assembly and presentation instructions.	AC	O	AC = Conclusion of exhibit. ARCHIVES NOTE: For museums, archival review and selection may be performed by museum curatorial staff. Materials pertaining to major exhibits may possess long-term historical value and may be retained either in the institutional archives or the museum unit, as appropriate.	
16.2.007	Interlibrary Loan (ILL) Records	Interlibrary loan requests fulfilled by the university library system for materials from outside institutions for materials requested from outside library systems.	AC		AC = Transaction is completed. See RSIN 4.1.001 for accounts payable records.	

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.2.008	Library Catalog	Catalog of bibliographic records used as a guide to library holdings.	US		CAUTION: See RSIN <u>4.7.004</u> for records documenting purchase of library materials. The disposal or supersession of library catalog records need not be documented through destruction authorizations (RSIN <u>1.2.001v</u>), or in records disposition logs (RSIN <u>1.2.010</u>).	
16.2.009	Library Materials Control Records	Records of the acquisition and cataloging of library material.	AC		AC = Catalog updated. See RSIN <u>16.2.008</u> for library catalog. See RSIN <u>4.7.004</u> for records documenting purchase of library materials. The disposal or supersession of library catalog records need not be documented through destruction authorizations (RSIN <u>1.2.001</u>), or in records disposition logs (RSIN <u>1.2.010</u>).	
16.2.010	Patron Registration Records	Patron registration forms filled out by archives users to gain access to the reading room to view archival materials. May also include photocopies of photo identification or other related materials.	4		See RSIN <u>5.4.011</u> for sign-in sheets, guest books, patron logs, and similar records documenting visitors to limited access or restricted areas of university facilities.	

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.2.011	Permissions History Files	Records of the repository granting/denying permission to reproduce images of items in the collection. Includes permission forms and correspondence requesting permission to publish images from archival collections.	AV			
16.2.012	Reference Request Records	This series documents requests for information about, or access to, items within the institution's collections. May include but is not limited to: reference request forms; disposition of or time spent fulfilling the requests; call slips (also called pull slips); and related documentation and correspondence.	AV		See RSIN <u>1.1.064</u> for performance measures documentation. See RSIN <u>1.1.069</u> for activity reports.	

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Section 16.3—Campus Security

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.3.001	Antenna and Transmitter Documentation	Records documenting the monitoring, inspection, measurement, repair, and illumination of antenna, antenna supporting structures, and transmitters authorized to operate with a power output in excess of two watts.	1			47 CFR 90.447.
16.3.002	Arrest Reports	Arrest report and fingerprints on each person arrested and charged with a felony or a misdemeanor not punishable by fine only. Report includes the name (including aliases), date of birth, and physical description of the offender; the name of the arresting agency; the arrest charge and whether it is a felony or a misdemeanor; the date of arrest; and the date and exact disposition of the case by the agency.	75		<p>CAUTION: If the arrest report does not provide the information listed in the record description, offense investigation records must be retained 75 years or until date of death of the individual.</p> <p>CAUTION: For retention of juvenile fingerprints, consult Family Code 58.002.</p> <p>NOTE: Records may be destroyed upon date of death of individual, if known.</p> <p>See RSIN <u>16.3.036</u> for Class C misdemeanors or other violations punishable by fine only.</p>	Code of Criminal Procedure, 66.102.
16.3.003	Bicycle Registration Records	Registrations completed by institution students, faculty, and staff for use of bicycles on campus.	AV			

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.3.004	Annual Fire Safety Report	Annual fire safety report containing summary fire statistics, fire drill data, fire safety education procedures, and data regarding the nature, date, time, and general location of fires occurring in on-campus student housing facilities.	3	O		34 CFR 668.49.
16.3.005	Campus Fire Log and Statistics	Fire log and statistics on the number of fires, the number of persons who received fire-related injuries, the number of deaths related to fire, and the property damage caused by fire for each on-campus student housing facility.	7			34 CFR 668.49(c)(1).
16.3.007	Campus Notifications	Emergency notifications distributed to the campus community via email, text message, or other method regarding emergencies, evacuations, "timely warnings" related to public safety, and weather related instructions.	3	O		
16.3.008	Chemical Breath Test Records	Logs, test records, operational check lists, and similar records relating to the administration of chemical breath tests or breathalyzer.	2			
16.3.009	Child Abuse Reports	Copies of child abuse reports received by a law enforcement agency pursuant to Family Code, Sections 261.103 and 261.105, which do not become part of arrest and offense investigation records.	3			

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.3.010	Clery Act Reporting— Annual Security Report	Annual security report summarizing statistics on the nature, date, time, general location, and disposition of the complaint (if known) of crimes investigated by campus police, created pursuant to the Clery Act.	7	O		20 USC 1092(f), 34 CFR 668.46.
16.3.011	Clery Act Reporting— Crime Log and Statistics	Crime log and statistics on criminal homicide; sex offenses; robbery; aggravated assault; burglary; motor vehicle theft; arson; and arrests for liquor law violations, drug law violations and illegal weapons possession. Includes crimes occurring on campus, in or on non-campus buildings or property, and on public property, pursuant to the Clery Act.	7			20 USC 1092(f), 34 CFR 668.46.
16.3.013	Clery Act Reporting— Emergency Response and Evacuation Procedures	Policies developed to provide warning to students and employees of crimes representing a threat to safety, as pursuant to the Clery Act.	7		See RSIN <u>5.4.013</u> for Continuity of Operations Plans not part of Clery Act reporting.	20 USC 1092(f), 34 CFR 668.46(g).
16.3.014	Communication Logs	Records of internal police communications, including telephone and radio logs.	30 days		See RSIN <u>16.3.018</u> for dispatch records.	

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.3.015	Criminal Intelligence and Analysis Files	Records created and maintained to anticipate, prevent, or monitor possible criminal activity, including crime pattern, crime analysis, and modus operandi reports; forecasts; evaluation reports; investigation recommendations; reports on movements of known offenders; information on confidential informants; and messages and alerts from other agencies.	AV		CAUTION: Information compiled by a law enforcement agency concerning criminal combinations or criminal street gangs must be destroyed after 5 years if it meets certain criteria under Code of Criminal Procedure, 67.151(b).	Code of Criminal Procedure, 67.151(b).
16.3.016	Daily Bulletins	Daily routine informational communications for public safety officers and personnel on duty which may include daily blotter, weather advisories, hazardous conditions, and reminders about "be on the lookout for" (BOLO) notifications.	1			
16.3.017	Death in Custody Reports	Reports submitted by the director of a law enforcement agency to the Attorney General concerning the deaths of persons while in the custody of a peace officer.	3			Code of Criminal Procedure, 49.18.
16.3.018	Dispatch Reports	Record created by dispatcher on each call for service documenting the dispatch of a campus police officer to investigate a disturbance or possible crime on the institution's campus. Includes date and time call received, nature of call, and details of action taken in response to call.	2	O		

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.3.020	Emergency Protective Orders	Emergency protective orders issued by magistrates.	AC		AC = Period that the order is effective.	Family Code, 85.025, Code of Criminal Procedure, 17.292(j).
16.3.023	Field Interrogation Reports	Reports on persons stopped and interrogated in the field because of suspicious behavior.	AV			
16.3.024	Fingerprint Records— Other	Fingerprint records other than those maintained in arrest records and offense investigations.	AV		For fingerprints collected during an investigation or arrest, see RSIN <u>16.3.002</u> , <u>16.3.033</u> , <u>16.3.035</u> , <u>16.3.037</u> , and <u>16.3.038</u> .	
16.3.026	GPS Tracking Records	Global Positioning System (GPS) data used to track locations of police and other state vehicles.	30 days		CAUTION: If the GPS data is used to establish the location of a police vehicle as part of an investigation, see investigation case file. The disposal of monitoring records that are automatically overwritten need not be documented through destruction authorizations (RSIN <u>1.2.001</u>) or in records disposition logs (RSIN <u>1.2.010</u>).	

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.3.027	Campus Security and Incident Reports	Reports concerning suspicious incidents, complaints, and dating and domestic violence that, after investigation, did not appear to have involved the commission of a crime or do not become a part of arrest or offense investigation records.	3		CAUTION: See RSIN <u>16.3.011</u> for reporting of all incidents required by the Clery Act.	
16.3.028	Law Enforcement Information Dissemination, Inquiry, and Receipt Records	Reports, logs, and other records pertinent to documenting the dissemination and receipt of criminal histories and dissemination of other information to law enforcement or other agencies through crime information networks (e.g., Texas Crime Information Center [TCIC], National Crime Information Center [NCIC]).	AV		CAUTION: Departments other than campus law enforcement see RSIN <u>3.1.026</u> for criminal history checks.	
16.3.029	Internal Affairs Investigation Records—Death/Injury	Records documenting the initiation, investigation, and disposition of internal affairs investigations of alleged misconduct by law enforcement officers. Includes records of investigation of law enforcement shooting incidents which result in death or injury to any person, including a police officer.	PM			

Retention Codes – See page ii for caution statement.

AC – See event trigger for specific records series definition

AV – Administratively valuable

CE – Calendar year end

FE – Fiscal year end

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Archival Codes

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.3.030	Internal Affairs Investigation Records— Formal Discipline	Records documenting the initiation, investigation, and disposition of internal affairs investigations of alleged misconduct by law enforcement officers. Includes records of investigations that result in sustained formal discipline (i.e., disciplinary action at or above the level of a written reprimand).	AC+15		AC = Completion of the investigation.	
16.3.031	Internal Affairs Investigation Records— Informal Discipline/Inconclusive	Records documenting the initiation, investigation, and disposition of internal affairs investigations of alleged misconduct by law enforcement officers. Includes records of investigations that result in sustained informal discipline (i.e., disciplinary action below the level of a written reprimand) or of investigations whose findings are inconclusive.	AC+5		AC = Completion of the investigation. CAUTION: A 1-year infraction-free period must precede the date of destruction.	
16.3.032	Internal Affairs Investigation Records— Unfounded/Not Sustained	Records documenting the initiation, investigation, and disposition of internal affairs investigations of alleged misconduct by law enforcement officers. Includes records of investigations whose findings are not sustained, or in cases where accusations are determined to be unfounded or the accused is exonerated.	AC+3		AC = Completion of the investigation. CAUTION: A 1-year infraction-free period must precede the date of destruction.	

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.3.033	Missing and Unidentified Persons Files	Reports on missing children and adults, requests for investigation, photographs, fingerprints, dental records, X-rays, notifications of possible match, and similar documents relating to the location of missing children and adults, including similar records relating to unidentified bodies.	AC+3		AC = Date person located or body identified.	
16.3.034	Mug Books	Photographs or mug shots of known offenders used by crime victims or witnesses for identification, other than those maintained in arrest records and offense investigations.	AV			

Retention Codes – See page ii for caution statement.

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.3.035	Offense Records—Class A and B Misdemeanors and State Jail Felonies	Cases cleared by the conviction or acquittal of the person arrested or cited, by the dismissal of charges against the person, or by the entry on the record of a court by a prosecuting attorney of a nolle prosequi. May include but not limited to: offense and supplemental offense reports; investigation reports and notes; witness statements; latent fingerprints; results of chemical analysis and polygraph tests; crime scene, mug shot, and other photographs; laboratory reports; citations; affidavits; criminal process; victim impact statements; and other records relating and customary to the investigation of criminal offenses or other violations of state law or local ordinance.	2		CAUTION: Records of cases not cleared must be retained until the statute of limitations has expired. CAUTION: For retention of juvenile case files, consult Family Code 58.264(b). NOTE: Records may be destroyed upon the death of the individual, if known.	
16.3.036	Offense Records—Class C Misdemeanors	Arrest reports and citations for Class C misdemeanors and unclassified violations of state law or local ordinance punishable by fine only, such as Minor in Possession (MIP), Minor in Consumption (MIC), and possession of drug paraphernalia.	6 MO		CAUTION: For retention of juvenile case files, consult Family Code 58.264(b).	

Retention Codes – See page ii for caution statement.

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.3.037	Offense Records—First-Degree and Capital Felonies	Cases cleared by the conviction or acquittal of the person arrested or cited, by the dismissal of charges against the person, or by the entry on the record of a court by a prosecuting attorney of a nolle prosequi. May include but not limited to: offense and supplemental offense reports; investigation reports and notes; witness statements; latent fingerprints; results of chemical analysis and polygraph tests; crime scene, mug shot, and other photographs; laboratory reports; citations; affidavits; criminal process; victim impact statements; and other records relating and customary to the investigation of criminal offenses or other violations of state law or local ordinance.	50		<p>CAUTION: Records of cases not cleared must be retained until the statute of limitations has expired.</p> <p>CAUTION: For retention of juvenile case files, consult Family Code 58.264(b).</p> <p>NOTE: Records may be destroyed upon the death of the individual, if known.</p>	

<p>Retention Codes – See page ii for caution statement.</p> <p>AC – See event trigger for specific records series definition</p> <p>AV – Administratively valuable</p> <p>CE – Calendar year end</p>	<p>FE – Fiscal year end</p> <p>LA – Life of asset</p> <p>PM – Permanent</p> <p>US – Until superseded</p>	<p>Archival Codes</p> <p>I – Transfer to university archives</p> <p>O – Review by university archives</p>
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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.3.038	Offense Records—Second- and Third-Degree Felonies	Cases cleared by the conviction or acquittal of the person arrested or cited, by the dismissal of charges against the person, or by the entry on the record of a court by a prosecuting attorney of a nolle prosequi. May include but not limited to: offense and supplemental offense reports; investigation reports and notes; witness statements; latent fingerprints; results of chemical analysis and polygraph tests; crime scene, mug shot, and other photographs; laboratory reports; citations; affidavits; criminal process; victim impact statements; and other records relating and customary to the investigation of criminal offenses or other violations of state law or local ordinance.	10		CAUTION: Records of cases not cleared must be retained until the statute of limitations has expired. CAUTION: For retention of juvenile case files, consult Family Code 58.264(b). NOTE: Records may be destroyed upon the death of the individual, if known.	
16.3.039	Parking Citation Records	Citations issued to regular on-campus parking, including petitions to appeal citations.	AC+6 MO		AC = Payment of ticket or resolution of appeal, whichever applicable. See RSIN 4.1.009 for payment of fines.	
16.3.041	Pawn Shop Tickets	Information supplied by pawn shops and sent to law enforcement. Includes individual receipts or lists of items pawned.	AV			

Retention Codes – See page ii for caution statement.

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.3.042	Police Activity Logs or Dockets	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.	2	O		
16.3.043	Police Animal Records	Records concerning horses, dogs, or other animals utilized by campus police, including records of the acquisition of the animal, its registration and pedigree papers, records of training, and its veterinary history.	AC+2		AC = Retirement, death, or sale of the animal.	

Retention Codes – See page ii for caution statement.

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.3.044	Police Audiovisual Recordings	Audiovisual recordings, including those from police vehicles, body worn cameras, or digital cameras, of persons detained for possible Driving While Intoxicated (DWI) or other violations.	AC+90 days		<p>AC = Date of the stop, investigation is complete, or criminal matters have been adjudicated, whichever longer.</p> <p>CAUTION: A recording created with a body worn camera and documenting an incident that involves the use of deadly force by a peace officer or that is otherwise related to an administrative or criminal investigation of an officer may not be deleted, destroyed, or released to the public until all criminal matters have been finally adjudicated and all related administrative investigations have concluded.</p> <p>CAUTION: For retention of juvenile recordings, see Family Code 54.012.</p> <p>The disposal of police audiovisual recordings need not be documented on a disposition log, but institutions should establish procedures governing disposal of these records as part of its records management plan.</p>	

<p>Retention Codes – See page ii for caution statement. AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end</p>	<p>FE – Fiscal year end LA – Life of asset PM – Permanent US – Until superseded</p>	<p>Archival Codes I – Transfer to university archives O – Review by university archives</p>
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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.3.046	Polygraph Examination Records	Polygraph charts, question sheets, reports of examination results, data sheets, films, audio and video of examinations, opinions from the examiner from chart analysis, and other records pertinent to a polygraph examination.	2		CAUTION: If a report of the results of a polygraph examination is placed in offense investigation records, it must be retained for the retention period for those records. See RSIN <u>3.1.043</u> for polygraphs related to employee selection.	
16.3.047	Rap Sheets	Rap sheets received from the Texas Department of Public Safety (DPS) or other law enforcement agencies.	AV			
16.3.048	Special Watch Records	Informational forms or lists provided to officers for campus areas, buildings, or residences needing special watch, including requests from the public for such watches.	AV			
16.3.050	Wanted Persons Files	Records received on persons wanted by other law enforcement agencies.	AV			
16.3.051	Warning Citations	Warning citations issued for violations of motor vehicle laws or for those violations of the penal code (e.g., criminal trespass) in which the issuance of warning citations is customary.	AV		See RSIN <u>16.3.039</u> for parking citations.	

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.3.052	Weapons Records—Disposition	Records documenting the disposition of police weapons, including but not limited to buy-back programs, trade-ins, and upgrades with vendors.	3			
16.3.053	Weapons Records - Inspection and Repair	Records of inspection and repair of weapons.	LA			
16.3.054	Weapons Records - Inventory	Inventories of weapons.	US+3			
16.3.055	Weapons Records—Issuance	Logs for issuing weapons to officers.	AC+3		AC = Return of weapon.	

Retention Codes – See page ii for caution statement.
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Section 16.4—Housing and Dining

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.4.001	Alcoholic Beverage Control Records	Annual and temporary event licensing for dispensing and serving alcoholic beverages. May include but not limited to: alcohol use requests or waivers; applications for event licenses or permits; and related documentation.	AC+3		AC = Date of event or revocation of license, as applicable. See RSIN 11.1.010 for other permits and licenses issued by the university.	
16.4.002	Menus	Approved dining menus for each food service location.	AV		CAUTION: If menu's primary function is providing a price list, see RSIN 5.1.012 .	
16.4.003	Non-Tenant/Denied Student Housing Applications	Applications and selection decision documentation for applications that do not result in occupancy. May also include consumer reports and authorizations to obtain credit information.	AC+1		AC = End of application term. CAUTION: If the institution obtains credit report information, then records created under this series must be retained 5 years beyond the application term. Fair Credit Reporting Act (FCRA), 15 USC 1681p. See RSIN 16.4.005 for applications that do result in occupancy.	

Retention Codes – See page ii for caution statement.
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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.4.004	Student Housing Judicial Record	Resident applications to appeal penalties received after violating the terms of their student housing or food service contracts, and decisions made on such appeals.	AC+7		AC = Expiration of contract or resolution of incident, whichever later. See RSIN <u>15.5.007</u> for incidents that result in disciplinary action. See RSIN <u>16.3.027</u> for incidents referred to law enforcement.	
16.4.005	Student Housing Tenant Records	Records of occupancy in all institution administered housing: residence halls, family housing, or cooperative housing. May include but not limited to: housing applications; proof of admission records; and related documentation.	AC+7		AC = End of student's occupancy. See RSIN <u>5.1.001a/b</u> for housing contracts.	

Retention Codes – See page ii for caution statement.

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Section 16.5 Other University Services

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.5.001	Disability Accommodation Requests	Accommodation requests, including ADA (Americans with Disabilities Act) and Section 504 of the Rehabilitation Act requests, for students or university visitors participating in the Services to Students with Disabilities (SSD) or similar program.	AC+2		AC = Request denied or cessation of services, as applicable. See RSIN <u>16.1.008</u> for counseling records. See RSIN <u>3.1.042</u> for employee accommodation requests.	
16.5.002	Career Counseling and Placement Records	Records used to assist students in planning career goals and connecting with prospective employers. May include but not limited to: career goals; academic credentials; personal data; work experience; honors; distinctions; and consent forms for release of information.	AC+5		AC = Graduation or date of last attendance.	

Retention Codes – See page ii for caution statement.

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.5.003	Child and Youth Program Staff Records	Staff applications for child and youth programs, background check reports, and training documentation.	AC+2		AC = Termination of staff. CAUTION: If the youth camp is notified of an investigation or conviction of a camp staff member for an act of sexual abuse, as defined by §21.02 of the Texas Penal Code, which occurred at the camp, the camp shall retain all records related to the investigation or conviction until the department notifies the camp that the record retention is no longer required.	25 TAC 265.12.
16.5.004	Childcare Center Records—Individual Child	Childcare center records, including child enrollment agreement; admission information; health and medical records or test results; licensing incident/illness report form; attendance lists; healthcare professional recommendations or orders for providing specialized medical assistance to a child; and all records required to be kept on file by 26 TAC 746.801.	AC+3 MO		AC = Specialized medical assistance is no longer needed, or child's last day in care, as applicable. See RSIN <u>16.5.007</u> for medication administration.	26 TAC 746.801 and 746.803.
16.5.006	Childcare Center Records—Licensing, Safety, and Compliance	Childcare center administrative records required under 26 TAC 746.801.	3 MO		CAUTION: Refer to RRS <u>Section 3</u> for personnel and training records, including employee attendance records.	26 TAC 746.801 and 746.803.

Retention Codes – See page ii for caution statement. AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of asset PM – Permanent US – Until superseded	Archival Codes I – Transfer to university archives O – Review by university archives
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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.5.007	Child-Care Center Records—Medication Administration	Medication logs, instructions, and other records related to the administration of medication to children in the child-care facility's care.	AC+3 MO		AC = Administration of medication. See RSIN <u>16.5.004</u> for health-care professional recommendations or orders for specialized medical assistance.	40 TAC 746.603(a)(9) and (b)(1).
16.5.008	Identification Card Administration Records	Images, application forms, or similar records documenting the issuance of identification cards to university students, staff, or faculty.	AC		AC = Until superseded or expired. See RSIN <u>5.4.012</u> for records documenting the issuance of keys, identification cards, or similar instruments of access to university facilities.	

<p>Retention Codes – See page ii for caution statement.</p> <p>AC – See event trigger for specific records series definition</p> <p>AV – Administratively valuable</p> <p>CE – Calendar year end</p>	<p>FE – Fiscal year end</p> <p>LA – Life of asset</p> <p>PM – Permanent</p> <p>US – Until superseded</p>	<p>Archival Codes</p> <p>I – Transfer to university archives</p> <p>O – Review by university archives</p>
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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.5.009	Non-Institution Student Records	Senior learning programs and elementary through high school level program records for non-institution children, youth, and other students, including students belonging to special, minority, or disadvantaged groups. May include but not limited to: application, admission, and enrollment documentation; progress reports and assessments; parental consent forms; activity records; lists of attendees; personal and family information; medical and health documentation; selection and decision making documentation; Educational Opportunity Program (EOP) documentation; notification of admission and non-admission; recommendations and evaluative materials; copies of academic records; counseling and advising notes and documentation; housing and conduct documentation; immigration and citizenship documentation; and financial responsibility records. Programs include but are not limited to: Upward Bound and High School Equivalency Program (HSEP).	AC+3		AC = End of program session or student separation from program, as applicable. See RSIN <u>16.5.003</u> for child and youth program staff records.	

Retention Codes – See page ii for caution statement. AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of asset PM – Permanent US – Until superseded	Archival Codes I – Transfer to university archives O – Review by university archives
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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
16.5.010	External Recruiter Records	This series provides a record of recruiter visits to the campus to participate in job fairs or conduct job interviews. May include but not limited to: scheduling calendars; recruiter schedules; recruiter information forms; lists of interviewees; and feedback forms from recruiters.	2		See RSIN <u>1.1.019</u> for marketing materials. See RSIN <u>15.5.005</u> for university student recruitment.	

<p>Retention Codes – See page ii for caution statement. AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end</p>	<p>FE – Fiscal year end LA – Life of asset PM – Permanent US – Until superseded</p>	<p>Archival Codes I – Transfer to university archives O – Review by university archives</p>
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Category 17: Academic Affairs

Section 17.1—General Academic Affairs

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
17.1.001	Academic Program Administrative Records	Records documenting the administration of academic programs, special academic programs, or non-institution student programs of a department or college. May include but not limited to: registration reports; add-drop analyses and reports; course enrollment summaries by class; graduation summaries; majors by class level; international activities; cooperative ventures; summer term classes and enrollment reports; placement information; and working papers.	5	O		
17.1.002	Class Scheduling Records— Published Schedule of Classes	Final published schedule of classes.	PM	O		
17.1.003	Class Scheduling Records— Working Files	Formulation of class schedules by academic departments for inclusion in the published schedule of classes. May include but not limited to: requests from departments for class offerings; deviation from schedule forms; copies of course schedule maintenance forms; requests for class changes; and working papers.	1			

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
17.1.004	Commencement Records	Commencement program planning and implementation at the institution. May include but not limited to: commencement attendance forms; and planning records created by commencement committees or other planning groups.	AC+4	O	AC = After commencement events.	
17.1.006	Continuing Education Course Records	For-credit and not-for-credit course offerings and individual course contents as offered by Continuing Education (i.e., extension classes).	AC+2		AC = End of semester in which course is taught. CAUTION: Some of these records may affect accreditation and should be kept long enough to meet accreditation cycle requirement. See RSIN <u>16.1.007</u> for medical continuing education records.	
17.1.007	Cooperative Program Records	Records documenting the institution's participation in cooperative and shared educational or research programs. Such programs may share research facilities and resources or instructional programs such as programs permitting student matriculation at member institutions. May include but not limited to: information on requirements and application procedures; committee minutes; meeting agendas; and memos of interpretation and understanding.	AC+7	O	AC = Termination of program or agreement.	

Retention Codes – See page ii for caution statement.

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
17.1.009	Course Records	Records of departmental course offerings and individual course contents. May include but not limited to: syllabi; course descriptions; course outlines; course summaries; course requests and proposals; curriculum approval lists; lists of classes by term; bibliographies; reading lists; course announcements; and handout materials.	AC+2		AC = End of semester in which course is taught. See RSIN 17.1.018 and 17.1.019 for course evaluations.	Texas Education Code, 51.974.
17.1.012	Degree and Special Academic Program Proposal, Development and Review Records	Records documenting planning and discussions relating to the implementation of new undergraduate, advanced degree, and special academic programs and any major reorganization or changes to established programs. May include but not limited to: final reports; curriculum committee meeting minutes; curriculum proposals; reviews of individual degree programs by campus and off-campus sources; letters of support; review agendas; and related documentation	AC	O	AC = Termination of degree program.	

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
17.1.018	Student Faculty/Course Evaluation Records—Non-Tenure Track Faculty	Student evaluations of non-tenure track teaching personnel, which provide students' opinions on faculty members' familiarity with current literature of the discipline, preparation, assignments, examinations, lecture styles, willingness to engage in dialogue, and availability. May include but not limited to: bubble forms (input documents); course reaction inventory printouts; statistical tabulations; and summary reports.	AC+3		AC = After course is completed. See RSIN 3.1.019 for employee performance appraisals.	
17.1.019	Student Faculty/Course Evaluation Records—Tenure Track Faculty	Student evaluations of tenure-track teaching personnel used to help determine faculty tenure, promotion, merit increases, and/or to review instructional courses and programs. These records provide students' opinions on faculty members' familiarity with current literature of the discipline, preparation, assignments, examinations, lecture styles, willingness to engage in dialogue, and availability. May include but not limited to: bubble forms (input documents); course reaction inventory printouts; statistical tabulations; and summary reports.	7		CAUTION: Retention period should be longer if a university's tenure review cycle is longer than 7 years. See RSIN 3.1.019 for employee performance appraisals.	

Retention Codes – See page ii for caution statement. AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of asset PM – Permanent US – Until superseded	Archival Codes I – Transfer to university archives O – Review by university archives
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Section 17.2—Accreditation

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
17.2.001	Professional Accreditation Records—Working Files	Accreditation working files for the institution, colleges, units, and related programs. May include but not limited to: materials compiled for inclusion in a report packet sent to professional accreditation boards; materials prepared for onsite accreditation inspections; and evaluation reports received preliminarily to final accreditation approvals, renewals, or revocations.	AC		AC = End of 2 accreditation cycles.	
17.2.002	Professional Accreditation Reports	Final accreditation report issued by a professional accreditation board for the institution, colleges, units, and related programs. May include but not limited to: final self-evaluation submitted to accreditation board; final accreditation report issued by accreditation board, and any supporting documentation needed to provide context for accreditation report.	PM	O		

Retention Codes – See page ii for caution statement.

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Section 17.3—Research

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
17.3.001	Animal Breeding and Management Records	Records relating to the care, management, and breeding of animals for research and teaching purposes.	AC+3		AC = Completion of activity, death of animal, or transfer of animal to another institution, as applicable. CAUTION: If the research facility has been notified in writing that specified records shall be retained pending completion of an investigation or proceeding, the research facility shall hold those records until their disposition is authorized in writing by the United States Department of Agriculture, Animal and Plant Health Inspection Service.	7 USC 2140, 9 CFR 2.35.
17.3.003	Institutional Animal Care and Use Committee (IACUC) Records	Institutional Animal Care and Use Committee (IACUC) meeting minutes, records of attendance, activities of the committee, committee deliberations, records of proposed activities involving animals and proposed significant changes in activities involving animals, and whether IACUC approval was given or withheld, and semiannual IACUC reports and recommendations (including minority views).	AC+3		AC = Completion of the activity. CAUTION: If the research facility has been notified in writing that specified records shall be retained pending completion of an investigation or proceeding, the research facility shall hold those records until their disposition is authorized in writing by the United States Department of Agriculture, Animal and Plant Health Inspection Service.	9 CFR 2.35, 42 CFR 73.17(c).

Retention Codes – See page ii for caution statement.

AC – See event trigger for specific records series definition

AV – Administratively valuable

CE – Calendar year end

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Archival Codes

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
17.3.004	Institutional Biosafety Committee	Meeting minutes and reports of the Biosafety Committee.	3			42 CFR 73.17(c).
17.3.005	Institutionally Funded Research—Minutes and Final Research Reports	This series documents the activities of the institutional councils and boards, which review proposals and make recommendations for awards to faculty for research that is not otherwise supported by organized or directed programs but is designed to lead to other funding sources. Examples of projects funded are pilot research, emergency funding, emerging research opportunities, new research field or new research field for investigator, developing research laboratories, and centrally shared research resources. This series includes meeting minutes and final research reports.	PM	O		21 CFR 56.115(b), 42 CFR 73.17(c).

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
17.3.007	Institutionally Funded Research—Project Review Records	This series documents the activities of the institutional councils and boards, which review proposals and project funding requirements to make recommendations for awards to faculty for research that is not otherwise supported by organized or directed programs but is designed to lead to other funding sources. Examples of projects funded are pilot research, emergency funding, emerging research opportunities, new research field or new research field for investigator, developing research laboratories, and centrally shared research resources. May include but not limited to: applicant case files; agendas; notes; working papers; award letters; and applications for research support.	AC+5		AC = Date of notification.	21 CFR 56.115(b).
17.3.008	Intellectual Property Agreements	Includes license agreements, know-how agreements, and other contractual agreements resulting from the licensing of technology or the transfer of intellectual property.	AC+7	O	AC = Completion of all terms and extensions of the agreement. CAUTION: Does not include patent records. See RSIN <u>17.3.011</u> .	NIH Guidelines, OMB Circular A: 110-.53, 2 CFR 200.334.

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
17.3.009	Patent and Invention Records—Auxiliary Files	This series documents the transfer of technology from the institution to outside agencies as the result of research projects and grants carried out at the institution. May include but not limited to: patent applications; agreements giving permission for institutional researchers to use other patented inventions in their research; descriptions and titles of inventions; sources of funding to create the inventions; details of the provenance of the inventions and their documentation; suggested manufacturers; reports issued concerning the inventions; and signatures of inventors and technically qualified witnesses.	7	O		
17.3.010	Patent and Invention Records—Denied or Not Pursued	Records relating to disclosures or applications for patents that are either not filed or otherwise pursued by the university, or which are denied by the US Patent and Trademark Office (USPTO).	AC+7	O	AC = Date of last office action or related correspondence in file. NOTE: Patent applications remain confidential unless published by the US Patent and Trademark Office or an international patent office.	

Retention Codes – See page ii for caution statement.

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
17.3.011	Patent and Invention Records—Patents, Licensing, and Disclosure Records	This series documents the transfer of technology from this institution to outside agencies as the result of research projects and grants carried out at the institution. May include but not limited to: original patents; international licensing agreements; and invention disclosure forms that list the names of the inventors and to whom the inventions have been disclosed.	AC+6		AC = Expiration of the patent.	
17.3.012	Research Data—Non-Funded Projects	Non-regulated research activities and research data of projects that are not funded by grants and are not subject to any state or federal guidelines.	AV		See RSIN <u>17.3.013</u> for research data related to grant-funded or sponsored research.	
17.3.013	Research Data—Funded Projects	Final and interim research reports, working files, research data, protocols, laboratory notebooks, documentation, and any specimens produced for a granting agency or sponsor for funded research, studies, clinical trials, and non-clinical trials.	AC+7	O	AC = Expiration or termination of the grant or sponsorship agreement, or close of study, whichever applicable. CAUTION: Research grants may have individual guidelines for retention. Records must be retained in accordance with guidelines of grant or contract. ARCHIVES NOTE: Working files used in creating the final research report are not subject to archival review and may be disposed of at the expiration of the retention period.	NIH Guidelines, OMB Circular A: 110-.53, 2 CFR 200.334, 21 CFR 58.195(b), 40 CFR 160.195(b), 42 CFR 73.17(c).

Retention Codes – See page ii for caution statement.

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
17.3.016	Scientific Misconduct Records	Accusations of research project-related misconduct brought forward by or against university personnel and affiliates.	AC+7		AC = Completion of proceeding involving the research misconduct allegation.	42 CFR 93.317(b).
17.3.018	Animal Research Controlled Substances	Lists and logs of controlled substances used by veterinarians in animal research. Records may list dates of drug acquisition, quantity of purchases, dates dispensed, patients receiving drugs, and total balance on hand of scheduled drugs.	5		See RSIN <u>16.1.031a/b</u> for health clinic or hospital pharmacy records.	22 TAC 573.50.

Retention Codes – See page ii for caution statement.

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Category 18: Campus Life

Section 18.1—Student Activities

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
18.1.001	Daily Broadcast Logs	Daily broadcast activities of the institutional radio station or television channel. May include but not limited to: log sheets showing time signed on and off; any delays in broadcasting; engineer's name; announcer's name; and technical difficulties.	2		CAUTION: See legal citations for exceptions to the retention requirement in the event of disasters, claims, or complaints to the Federal Communications Commission (FCC).	47 CFR 73.1840(a), 47 CFR 73.1800, 47 CFR 73.1820.
18.1.003	Student Organization Administrative Records	Records documenting the history, development, and policies of campus student organizations. May include but not limited to: constitutions and bylaws; publications (websites, newsletters, fliers, brochures, posters, and other publications); annual review forms; annual reports; meeting minutes and supporting documentation; committee, subcommittee, and task-force records; Student Senate bill and resolution files; budgets; handbooks; officer and member rosters; scrapbooks; photographs; press releases; clippings; social media accounts; and related documentation and correspondence that documents programs, activities, and events.	AV	O		

Retention Codes – See page ii for caution statement.

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
18.1.004	Broadcast Station Public Inspection File	Public inspection file for noncommercial radio stations, which includes all records listed in 47 CFR 73.3527(e), as required by the FCC.	AC		AC = Expiration or cancellation of license or permit.	47 CFR 73.3527(e).

<p>Retention Codes – See page ii for caution statement. AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end</p>	<p>FE – Fiscal year end LA – Life of asset PM – Permanent US – Until superseded</p>	<p>Archival Codes I – Transfer to university archives O – Review by university archives</p>
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Section 18.2—Intercollegiate Athletics

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
18.2.005	NCAA and NAIA Reporting Requirements	Records required to be produced and reported to the National Collegiate Athletic Association (NCAA) and National Association of Intercollegiate Athletics (NAIA). May include but not limited to: documentation of admissions, financial aid, eligibility, or academic performance; graduation success; assessments; insurance certifications; recruiting activities; training and practice schedules; game day totals and ticket sales; student athlete accommodations; drug testing consent forms; student athlete statements; injury and medical surveillance; reporting on individual athletes; and documentation of compliance with rules.	6		See RSIN <u>18.2.014</u> for individual athlete files.	
18.2.007	Student Athlete Drug Test Records—Negative Results	Negative results of drug testing done on student athletes, such as lab reports and interpretations.	1			
18.2.008	Student Athlete Drug Test Records—Positive Results	Positive results of drug testing done on student athletes, such as lab reports and interpretations.	AC+5		AC = End of eligibility.	

Retention Codes – See page ii for caution statement.
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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
18.2.011	Game Officials' Evaluation Forms	Head coach's evaluation of judging officials' performance at games. The series is also used to comply with NCAA, NAIA, and conference rules and regulations. Information on the individual forms includes: team names; site; game date; judging officials' names; evaluative scores; comments; and coach's signature.	1			
18.2.012	Game Records	Records documenting each game and the season for each sport by playing year. May include but not limited to: individual and seasonal game statistics; player statistics; attendance figures; player training charts; game schedules; game arrangements; special teams statistics; rankings; awards information; NAIA and NCAA game statistics; all-conference nominations; spring and fall camp depth charts; numerical rosters; narrative reports on games and scrimmages; final team statistics for each game; NAIA and NCAA official scoring summaries; play-by-play written reports.	AV	O	ARCHIVES NOTE: Certain game records, including statistics, may possess long-term historical value and may warrant permanent retention by the institutional archives.	

Retention Codes – See page ii for caution statement.

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
18.2.014	Individual Athletes Records	Athletic history of each athlete who has competed at the institution. Frequently, this series is a continuation of the recruitment file and includes recruitment records if an athlete signs a letter of intent. May include but not limited to: academic major information, including performance reports; admissions verification reports; academic transcripts; financial aid information; recruitment information documents; medical and injury reports; media articles; photographs; release of information forms; personal data questionnaires; and records of awards.	AC+5	O	AC = Date of separation from the institution. ARCHIVES NOTE: Only public profile records are subject to archival review. Confidential information should be removed or redacted upon archival transfer.	
18.2.016	Playbooks	Strategies and game plays for each game in the season.	5			

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Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
18.2.018	Recruiting Records— Athletics	Recruitment of athletes into the institution's intercollegiate athletics program. The series also provides a record of the recruitment process for prospective players created by the institution to comply with NCAA, NAIA and conference rules and regulations. May include but not limited to: the institution's football questionnaire forms with personal, scholastic, football, general, and transcript release information; information request cover sheets; grade transcripts; Information for Certification of NCAA Freshman Athletics Eligibility Compliance; letters of intent; copies of admissions forms and materials; and ongoing performance and eligibility reports.	AC+5		AC = End of eligibility.	
18.2.019	Sports Merchandising Records	Administration of the sale of institutional and NCAA or NAIA-licensed merchandise at sporting events. May include but not limited to: sales reports; merchandise comment sheets; branding and promotion campaigns; and related merchandising working files.	FE+3		See RSIN 4.1.009 for accounts receivable records.	

Retention Codes – See page ii for caution statement. AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of asset PM – Permanent US – Until superseded	Archival Codes I – Transfer to university archives O – Review by university archives
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Section 18.3—Faculty and Staff Organizations

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
18.3.001	Faculty and Staff Election Records	Records of elections held by various faculty and staff organizations. May include but not limited to: ballots; tabulations; and related documentation.	AC		AC = Results are verified.	

Retention Codes – See page ii for caution statement.

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