



STATE OF TEXAS Records Retention Schedule

Retention Codes (field 7)

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

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 US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
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1. Agency Code:		768 2. Agency Name: Texas Tech University System									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Ret. Period Years	8. Ret. Period Months	8. Ret. Period Days	9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
16	1.1.056	ADA (Americans with Disabilities Act) Documentation	Self evaluations and plans documenting compliance with the requirements of the Americans With Disabilities Act.		3						28 CFR 35.105(c).
19	1.1.064	Agency Performance Measures Documentation	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE	3					See RSIN 1.1.068 for reports on agency performance measures. CAUTION: The FE + 3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.	
272	1.1.070	Agency Rules, Policies, and Procedures	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects. Includes working files and related documentation used in creating rules, policies, and procedures.	AC	3			AC = Until superseded, or termination of program, rules, policies, or procedures, whichever applicable.	O	ARCHIVES NOTE: Working files and related documentation used in creating the final rules, policies, and procedures, are not subject to archival requirement and may be disposed of at the expiration of the retention period.	
715	1.1.075	Alternative Dispute Resolutions — Final Agreement	Final agreement described by Government Code, 2009.054(c), associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state agency participated as a party on the agency's behalf.	AC	4			AC = Date of final agreement.			Texas Civil Practice and Remedies Code, 154.071.
34	1.1.002	Audits	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC = Publication or release of final audit findings.		The State Auditor's Office retains any copies of its audits performed on Texas state agencies. See RSIN 5.4.018 and 5.4.019 for Audit Plan records.	



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177	1.1.013	Calendars, Appointment and Itinerary Records	Calendars, appointment books or programs and scheduling, or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.	CE	1				O	<p>ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, agency heads, and board or commission members require archival review. Contact the University Archives when these records have met their retention periods.</p> <p>CAUTION: This records series and RSIN 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.</p>	
80	1.1.006	Complaint and Feedback Records	Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC	2			AC = Date of receipt, action taken, or final disposition of the complaint, whichever later.		CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048.	
87	1.1	Copyright Information	Documentation kept on materials that may have been used for university activity such as publishing a book by Tech Press but to which the university does not own the copyrights to and/or may not own the physical item itself.	AC	10			AC = After activity is completed.			



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88	1.1.079	Copyright Records	Copyright records which pertain to employees' original work. May include but not limited to a copy of the work itself as submitted to the United States Copyright Office and the corresponding copyright application, registration notice, and supplementary documents.	AC				AC = Expiration of copyright.	R		17 USC 302.
89	1.1.007	Correspondence — Administrative	Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.		4				O	<p>ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the University Archivist when these records have met their retention periods.</p> <p>CAUTION: This records series and RSIN 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by RSIN 1.1.004; a letter concerning an audit for that prescribed by RSIN 1.1.002, etc. See also RSIN 1.1.011.</p>	
90	1.1.008	Correspondence — General	Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.		2					SEE comment to RSIN 1.1.007. SEE also RSIN 1.1.010.	



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105	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						
135	1.1.011	Executive Orders	Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.	US	3				I		
190	1.1.014	Legal Opinions and Advice	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV					O	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation, or opinions rendered for Public Information Act Requests. See RSIN 1.1.048, 1.1.020, and 1.1.021. ARCHIVES NOTE: Opinions and advice that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation. See page ix of the Texas State RRS for additional guidelines.	
191	1.1.004	Legislative Appropriation Requests	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC	6			AC = September 1 of odd-numbered calendar years.		ARCHIVES NOTE: The final version of Legislative Appropriation Requests must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(3)(A). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period.	



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201	1.1.048	Litigation Files	Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC	1			AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	O	ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the University Archivist for archival preservation.	
457	1.1.061	Meetings — Notes	Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC			90	AC = Approval of the formal minutes by the governing body.		SEE caution comment at RSIN 1.1.058.	
222	1.1.062	Meeting — Supporting Documentation	Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.		2				I	SEE caution comment at RSIN 1.1.058.	



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219	1.1.058	Meetings, Agendas and Minutes of Open	Agendas and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Chapter 551, Government Code.	PM					I	<p>ARCHIVES NOTE: Agency retains permanent record copy. A copy is sent to University Archives.</p> <p>CAUTION: This records series and item numbers 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.</p>	
223	1.1.059	Meetings, Agendas and Minutes or Audiovisual Recordings of Closed	Agendas, minutes, or audiovisual recordings of closed meetings of state boards, commissions, committees, and councils.	AC	2			AC = The date of the meeting or completion of pending action involving the meeting, whichever is later.		See caution comment at RSIN 1.1.058.	Government Code, 551.104(a).
224	1.1.060	Meetings, Audiovisual Recordings of Open	Audiovisual recordings of open meetings of state boards, commissions, committees, and councils.	AC			90	AC = Official approval of written minutes of the meeting by the governing body of an agency.		CAUTION: It is an exception to the AC+90 days retention that if an agency does not prepare written minutes, it must retain recordings of open meetings permanently, following the same retention requirements of RSIN 1.1.058. See also caution comment at RSIN 1.1.058.	



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220	11.1	Meeting Minutes — HSC Medical Staff Committee	Minutes or notes, and supporting documentation, taken at internal medical staff meetings.		3					Cannot be subpoenaed, V.T.C.S 4447-D, Section 3. CAUTION: Federal or state regulations may require longer retention periods (for example, radiation committee meeting records must be retained permanently). The university must consider any applicable federal or state regulations in establishing a retention period for each committee's records.	
221	1.1.063	Meeting Minutes and Notes — Staff	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.		1						
233	1.1.023	Organization Charts	Charts or diagrams that show the structure of an agency and the relationships and relative ranks of its departments and job positions.	US					I	ARCHIVES NOTE: Only charts showing the overall arrangement and administrative structure of the state agency need to be transferred to the Archives and Information Services Division, Texas State Library and Archives Commission. Organizational charts showing division/department level detail are not considered archival.	
257	1.1.024	Plans and Planning Records	Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC	3			AC = Decision made to implement or not to implement result of planning process.	O	ARCHIVES NOTE: Data processing planning records are not archival.	



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282	1.1.026	Proof of Publication — Texas Register Submissions	Copies of all proposed, withdrawn, emergency, and adopted rules; open meetings notices; or any other documents required by law to be submitted to the Texas Register.	AC	1			AC = Date of publication in the Texas Register.			
452	1.1.027	Proposed Legislation	Drafts of proposed legislation and related correspondence.	AV							
284	1.1.019	Public Relations Records	News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.		2				O		
714	1.1.072	Public Information Reports	Reports made to the Office of Attorney General (OAG) on an agency's Public Information Act activities, per Government Code, 552.010.		2						
230	1.1.020	Public Information Requests — Not Excepted	Includes all correspondence and documentation relating to requests for records that are furnished to the public under the Public Information Act (Chapter 552, Government Code). Also includes withdrawn requests.	AC	1			AC = Date request fulfilled or withdrawn.			
231	1.1.021	Public Information Requests — Excepted	Includes all correspondence and documentation relating to requests for records that are excepted under the Public Information Act (Chapter 552, Government Code), including records provided to the legislature under section 552.008.	AC	2			AC = Date of notification that records are excepted.			



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597	1.1.077	Release of Records Documentation	Records that document the release of records or information through any method other than a Public Information Act request or subpoena (including employment verification).	AC				AC = Date records released.		See RSIN 1.1.020 for records released under the Public Information Act. See RSIN 1.1.076 for records produced for a subpoena. See RSIN 1.1.048 for records produced for litigation. CAUTION: Some records releases may require a longer retention period. Agencies must determine if a longer retention period is required based on any federal or state statutes or regulations that apply to the agency's functions. Agency legal staff should be consulted.	
309	1.1.065	Reports and Studies (Non-Fiscal) — Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV						See RSIN 1.1.067 for reports produced from raw data. CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. See RSIN 1.1.064.	



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304	1.1.066	Reports — Biennial or Annual Agency (Narrative)	Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute. Includes working files and related documentation used in creating final report.	AC	6			AC = September 1 of odd-numbered calendar years.		ARCHIVES NOTE: The final version of these agency reports must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3. The requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Working files and related documentation used in creating the final report may be disposed of at the expiration of the retention period.	
303	1.1.067	Reports and Studies (Non-Fiscal)	Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.		3				O	See RSIN 1.1.065 for raw data used to produce reports. ARCHIVES NOTE: Reports are archival when they deal with significant aspects of the agency's programs. For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I, R, or E. See page ix for more information.	
306	1.1.068	Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC	6			AC = September 1 of odd-numbered calendar years.		See RSIN 1.1.064 for documentation used to produce reports on agency performance measures.	
305	1.1.069	Reports — Activity	Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, absences, task completion times, number of public contacts, and similar activities.		1					CAUTION: If reports are used to document performance measures, see RSIN 1.1.064.	



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331	1.1.040	Speeches, Papers and Presentations	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	2			AC = End of event, until superseded, or obsolete.	O	ARCHIVES NOTE: Only speeches, papers, and presentations given by or on behalf of executive staff, board or commission members, division directors and program heads require archival review.	
334	1.1.055	Strategic Plans	Operational strategic plans, which include descriptions of information resources programs, prepared in accordance with Government Code, 2054.095 and 2056.002. Includes working files and related documentation used in creating the final plan.	AC	6			AC = September 1 of odd-numbered calendar years.	I	ARCHIVES NOTE: The final version of Strategic Plans must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(2)(C). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period.	
599	1.1.076	Subpoenas	Subpoenas for production of evidence produced for litigation in which the state agency is not a party. Includes legal documents requiring recipient to appear in court to testify, or to produce records to be used in litigation.	AC	1			AC = Date request fulfilled.		For subpoenas related to litigation in which the state agency is a party, see RSIN 1.1.048. Agency policy to retain longer than the TSLAC minimum retention.	
290	1.1.038	Surveys and Questionnaires	Surveys soliciting feedback from customers, clients, or stakeholders of an agency, and the statistical data maintained rating an agency's performance.	AC				AC = Final disposition of summary report, or date of decision not to produce a report, as applicable.		See 1.1.067 for summary reports compiled from customer surveys.	



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430	1.1.043	Training Materials	Instructional materials and other records developed by an agency associated with training the entities or non-personnel individuals it regulates or serves, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids used in external training programs.	AC	1			AC = Close of training session, after training materials superseded, or termination of training program, as applicable.		See RSIN 3.3.030 for internal personnel training materials. CAUTION: Does not include hazardous material training records. See RSIN 5.4.007.	
433	1.1.057	Transitory Information	Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC				AC = Purpose of record has been fulfilled.		CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction signoffs (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	



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600	1.1.078	Waivers of Liability	Waivers of liability, including statements signed by volunteers acknowledging non-entitlement to benefits, agreeing to abide by state agency policies, etc.	AC	3			AC = Date of cessation of activity for which the waiver was signed.		CAUTION: If an accident occurs to any person covered by a signed waiver of liability, it must be retained for the same period as accident reports. See RSIN 5.4.001 and 5.4.014a/b.	
294	1.2.001	Destruction Authorizations	Documents authorizing final disposition of records under a certified records retention schedule. Records may also include destruction authorizations (e.g., form RMD 102) approved by Texas State Library and Archives Commission.		3					CAUTION: If destruction authorizations are maintained as part of RSIN 1.2.010 (Records Disposition Logs), then longer retention period applies.	
147	1.2.003	Forms History and Maintenance	Master versions of all forms used internally and externally by the agency, including subsequent revisions to an agency form or any associated design or design modification requests.	AC	2			AC = Until superseded or use of form is discontinued.			
293	1.2.013	Records Access and Locator Aids	Documentation used to provide and improve access to records. Includes indexes, card files, shelf lists, registers, guides, and other finding aids.	AC				AC = When aid is superseded, or no longer needed because associated records have been destroyed.		CAUTION: These records must carry the same retention period and archival code of the records they support.	
295	1.2.010	Records Disposition Logs	Logs or similar records listing records disposed by an agency or transferred to the University Archives, which might include records series title, dates of records, and dates of disposition or transfer.		10					Department maintains their own disposition log. CAUTION: Disposition can mean destroyed or transferred.	
296	1.2.012	Records Inventories	Worksheets or working papers used to capture records inventory information, including location tracking and to document existence and requirements of a records series.	US							
297	1.2.014	Records Management Policies and Procedures	Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US	1						



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298	1.2.005	Records Retention Schedule	A records retention schedule (i.e., form SLR 105) that identifies the records that are created and maintained by an agency, provides the minimum timeframes the records must be retained, and includes instructions for their disposition. This series may include working files and documentation of certification and approval by the Texas State Library and Archives Commission	US						Original is retained for 50 years by the State and Local Records Management Division, Texas State Library and Archives Commission.	



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20	1.3.001	State Publications of Texas Tech University	One copy of each state publication as defined on page xi of the introduction of TSLAC schedule, except a publication that is subject to a different retention period in TSLAC schedule. For example, a meeting agenda (see RSIN 1.1.058) also meets the definition, but it must be retained permanently; RSIN 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003, which also meet the definition, are closely associated with the appropriations process and must be retained AC + 6.	AC	2			AC = Until superseded or obsolete.	O	<p>University retains record copy and sends required copies to Publications Depository Program, Texas State Library and Archives Commission.</p> <p>CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, TSLAC, by law (Government Code, 441.103-441.105). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. For additional information and requirements concerning state publications made available to the public through the internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC §§2.1.2.2)</p>	



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285	1.3.002	Publication Development Files	Physical and digital development and design files used to create State Publications, including but not limited to background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV					O	See RSIN 1.3.001 for final State Publications created from development files. ARCHIVES NOTE: Successive and substantive drafts of major publications may be archival. Major is defined by both the publication's authorship and its impact on Texas and Texans. Original artwork, including photo prints and negatives that have significant value as evidence of agency programs as well as the potential for re-use, may be archival.	
35	2.1.010	Audit Trail Records	Files needed for electronic data audits. Records include but are not limited to: reports showing transactions accepted, rejected, suspended, and/or processed; history files or tapes; records of updates to application files; and security logs.	AC				AC = All audit requirements have been met.			
327	2.1.007	Computer Software Programs	Agency-developed automated software applications, operating system files, and associated processing files, including job control language, programs, applications, scripts, source code, etc	AC				AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.



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160	2.1.008	Computer Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, equipment control systems, and associated processing files.	AC				AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read.		CAUTION: Hardware needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.
110	2.1.009	Hardware and Software Technical Documentation	Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate, and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	AC				AC = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read.		CAUTION: Hardware and software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.



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36	2.1.002	Master Files and Application Data	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC				AC = Until electronic records are transferred to and made usable in a new system environment, or there are no electronic records being retained to meet an approved retention period established in this schedule that require the use of the system.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency master files and application data that the files do not fall under records series listed elsewhere.	
83	2.2.002	Chargeback Records to Data Processing Services Users	Records documenting usage, costs, billing, cost recovery, budgeting, and administrative functions of computer usage and data processing services for individual units / departments / divisions in an agency.	FE	3						
43	2.2.011	Data Input Documents	Forms and logs used to enter and reconcile data sets submitted for processing.	AC				AC = Data entered into applicable system and, if required, verified.			
601	2.2.017	Help Desk Tickets	Records documenting the request for and response to help desk tickets received by divisions or units, such as information technology.	AV							
456	2.2.014	Internet Browser Files	A record of web pages visited during an internet session, including data files of user-specific information created by the webserver, that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.	AV						The disposal of internet history records need not be documented through destruction authorizations (RSIN 1.2.001) or in records disposition logs (RSIN 1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (RSIN 1.2.014).	



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288	2.2.013	Quality Assurance Records	Information verifying the quality of system, hardware, or software operations including records of errors or failures and the loss of data resulting from such failures, documentation of abnormal termination and of error free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy.	AC				AC = No longer needed as an audit trail for any records modified.		For quality control records related to non-IT procedures, see RSIN 5.2.018.	
328	2.2.016	Software Registrations, Warranties and License Agreements	Records documenting the registration and licensing of a software application to activate the software for legal use by the end users of a state agency, along with warranties providing that the software will perform in accordance with functional specifications.	LA	3						
15	2.2.001	System or Computer Monitoring Records	Hardware and software components for monitoring agency's computer system resources and performance.	AV						The disposal of monitoring records that are automatically overwritten need not be documented through destruction authorizations (RSIN 1.2.001) or in records disposition logs (RSIN 1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (RSIN 1.2.014).	
527	3.1.042	ADA Accommodation Requests	Employee or applicant requests for reasonable accommodation under the ADA (Americans with Disabilities Act).	AC	2			AC = For employees, termination of employment; for job applicants who were not selected, date of application.		Note: records are confidential and sometimes subject to HIPAA. For Student ADA Accommodations, see 16.5.001.	29 CFR 1602.31.



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27	3.1.002	Applications for Employment — Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC	5			AC = Termination of employment.			
28	3.1.001	Applications for Employment — Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC	2			AC = Date of the making of the record or the personnel action involved, whichever occurs later.		CAUTION: Does not include ADA Accommodation Requests. See RSIN 3.1.042.	29 CFR 1602.49(a).
346	3.1.036	Apprenticeship Records	Summary of applicant qualifications, evaluation basis for selection or rejection, original applications, job assignments, promotions, separations, layoffs, terminations, compensation records, conditions of work, time records, hours of training provided (separate from labor), minority status, and gender of all selected and rejected applicants.		5					5 years retention unless otherwise stipulated by accreditation requirements, whichever is the longer of the two retention periods.	29 CFR 30.8(e).
323	3.1.026	Criminal History Checks	Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC				AC = The criminal history record has served the immediate purpose for which it was obtained.		CAUTION: An agency that is authorized to obtain a criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.	



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602	3.1.041	Employee Acknowledgement and Agreement Forms	Agreements between employee and agency authorizing certain actions, including acknowledgement forms, telecommuting agreements, outside/secondary employment authorizations, or other documentation that show proof of receipt and awareness of and adherence to agency policies and procedures.	AC	2			AC = Until superseded, obsolete, or date of separation, as applicable.			
117	3.1.011	Employee Benefits	Agency copies of information relating to the selection by employees of life, disability, health, vision, dental, and other types of insurance or benefits offered by the State of Texas to its employees.	AC				AC = Until superseded or termination of employment.		CAUTION: Documents that serve as payroll deduction authorizations must RSIN 3.2.001.	
91	3.1.006	Employee Counseling Records	Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisorial level except in those agencies with counseling staff.	AC	3			AC = Termination of counseling.			
567	3.1.013a	Employment Contracts — 9/1/2015 and After	Includes a contract or agreement regarding the terms and conditions of employment of an individual and a contract with a vendor for temporary staffing services. Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the contract according to its terms.			Government Code, 441.1855.
121	3.1.013b	Employment Contracts — 8/31/2015 and Prior	Includes a contract or agreement regarding the terms and conditions of employment of an individual and a contract with a vendor for temporary staffing services. Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the contract according to its terms.		NOTE: Refer to SB20 (84th Leg.) for retention period context.	Government Code, 441.1855.



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612	3.1.040a	Employee Drug Testing and Screening Records — Positive Results and Calibration	Records of employee alcohol test results indicating an alcohol concentration of 0.02 or greater; records of employee verified positive controlled substances test results; documentation of refusals to take required alcohol and/or controlled substances tests; employee evaluation and referrals; calibration documentation; records related to the administration of the alcohol and controlled substances testing programs; copy of each annual calendar year summary.		5						49 CFR 382.403 for commercial motor vehicle drivers.
613	3.1.040b	Employee Drug Testing and Screening Records — Collection Records	Records related to the alcohol and controlled substances collection process (except calibration of evidential breath testing devices).		2					See RSIN 3.1.040a for calibration documentation.	
614	3.1.040c	Employee Drug Testing and Screening Records — Negative Results	Records of negative and canceled controlled substances test results and alcohol test results with a concentration of less than 0.02.		1						
107	3.1.029	Employee Eligibility Documentation	Federal reporting Form (Form I-9).	AC				AC = 3 years after date of hire or 1 year after termination of employment, whichever later.			8 CFR 274a.2(b)(2)(i)(A) and (c)(2).
118	3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc.	AC	5			AC = Termination of employment.			
119	3.1.012	Employment Opportunity Announcements	Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.		2						29 CFR 1602.49(a).



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122	3.1.014	Employment Selection Records	Includes notes of interviews with candidates; questions asked of applicants; audio and videotapes of job interviews; driving record and previous injury checks; pre-employment physical examinations; and all other records that document the selection process, except for those noted in Remarks.	AC	2			AC = Date of the making of the record or the personnel action involved, whichever occurs later.		CAUTION: Does not include criminal history checks; see RSIN 3.1.026. Does not include drug screening test results; see RSIN 3.1.040a/b/c. Does not include pre-employment skills tests; see RSIN 3.3.027 and 3.3.028. Does not include pre-employment polygraph examinations; see RSIN 3.1.043.29 CFR 1602.49(a)	29 CFR 1602.49(a).
159	3.1.018	Grievance Records	Records relating to the review of employee grievances or complaints against personnel policies, working conditions, etc.	AC	2			AC = Final decision on the grievance.		CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U. S. Department of Labor (DOL). See RSIN 1.1.048.	
247	3.1.019	Performance Appraisals — Staff and Non-Tenure Track	Job evaluations, performance appraisals, or other similar documents used to evaluate the performance of an employee.		2						29 CFR 1620.32(c).
248	3.1.019	Performance Appraisals — Teaching Assistant [non-faculty]	Job evaluations, performance appraisals, or other similar documents used to evaluate the performance of an employee.	AC	3			AC = Completion of teaching course or lab.			29 CFR 1620.32(c).
249	3.1.019	Performance Appraisals — Tenure Track	Job evaluations, performance appraisals, or other similar documents used to evaluate the performance of an employee.		6						29 CFR 1620.32(c).



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250	3.1.020	Personnel Corrective Action Documentation	Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	AC	5			AC = Termination of corrective action.		CAUTION: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under RSIN 3.1.021, all documentation from this series used to support disciplinary action must be retained for the the minimum retention period described by RSIN 3.1.021.	
251	3.1.021	Personnel Disciplinary Action Documentation	Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force, and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC	5			AC = Termination of employment.			
252	3.1.022	Personnel Information or Action Forms	Forms or similar records used to create or change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment.		2						29 CFR 1602.49(a)
277	3.3.015	Positions/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3						
276	3.1.023	Position/Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	4			AC = Until superseded or job eliminated.			40 TAC 815.106(i).



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216	3.1.024	Physical Examinations/Medical Reports	Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.	AC	2			AC = Until superseded or termination of employment.		CAUTION: Does not include pre-employment physical examinations. See RSIN 3.1.014. Does not include medical or physical examinations for employees exposed to hazardous materials. See RSIN 5.4.016a/b.	
283	3.1.038	Public Access Option Records	Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code 552.024.	US						CAUTION: Most recent public access election information must be kept as long as the former employee verification records. See RSIN 3.3.011.	
51	3.1.034	Resumes — Unsolicited	Retention period applies if an agency replies to the sender of a resume that it will be kept on file should future job openings occur.	AV						See RSIN 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.	
431	3.1.027	Training and Educational Achievement Records (Individual)	Certificates of completion, licenses, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC	5			AC = Termination of employment.			
104	3.2.008	Direct Deposit Application/Authorizations	Forms used to deposit employee's earnings into a specified personal account.	AC				AC = Until superseded, cancelled, or last payment deposited after termination of employment, whichever applicable.			
115	3.2.001	Employee Deduction Authorizations	Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC	4			AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.			



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116	3.2.002	Employee Earnings Records	Payroll records and registers documenting employee earnings, wages, and pay. This may include but is not limited to payroll input records, summary statements, payroll vouchers, payroll detail sheets, and payroll history.		4						40 TAC 815.106(i).
143	3.2.003	Federal Tax Records	Includes 1099, W2, FICA, and other tax records.	AC	4			AC = Tax due date, date the claim is filed, or date tax is paid whichever is later.			26 CFR 31.6001-1(e)(2).
168	3.2.004	Income Adjustment Authorizations	Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.		2						29 CFR 516.6(c).
332	3.2.009	State Deferred Compensation Records	Records documenting the amount of pension or deferred compensation earned by individual employees.		4						
437	3.2.007	Unemployment Compensation Records	Records and documentation relating to unemployment compensation claims, including reimbursement of funds disbursed by Texas Workforce Commission (TWC).	AC	5			AC = Resolution of the claim.			
446	3.2.005	W-4 Forms	Employer's copy of "Employee's Withholding Exemption Certificate."	AC	4			AC = Until superseded, obsolete, or termination of employee.			26 CFR 31.6001-1(e)(2).
447	3.2.006	Wage Rate Tables	Records defining the wage or salary rate for each position in the agency expressed in dollars, grades, or step numbers.		2						29 CFR 516.6(a)(2).
18	3.3.001a	Affirmative Action Plans — Employees	Affirmative action plans for both regular employees and apprenticeship programs.	AC	5			AC = Date of the making of the record or the personnel action involved, whichever occurs later.			29 CFR 30.12(d).



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22	3.3.026	Agency Staffing Reports	Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name, staff hired during a month, detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US	3						
30	3.3.027	Aptitude and Skills Tests	Aptitude, competency, or skills tests and checklists required of job applicants or of current personnel to qualify for promotion or transfer, including validation records.	AC	2			AC = Until superseded or no longer used by agency.		CAUTION: One copy of each different master test (different in terms of either questions or administration procedures) should be retained for the period indicated.	29 CFR 1602.49.
31	3.3.028	Aptitude and Skills Tests – Test Papers	Completed aptitude, competency, or skills test papers and checklists of job applicants or of current personnel taking a test to qualify for promotion or transfer.		2						29 CFR 1602.49.
44	3.3.004	Benefit Plans	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	AC	1			AC = Until superseded or plan terminated.			29 CFR 1627.3(b)(2).
108	3.3.031	EEO Reports and Supporting Documentation	Includes documentation used to complete EEO (Equal Employment Opportunity) reports.		3						29 CFR 1602.32, 1602.48, and 1602.50.
112	3.3	Employee Affidavits		AC	5			AC = Until superseded or until termination of employment.			
120	3.3	Employee Confidentiality Forms	Contract that prohibits employees from sharing sensitive information, trade secrets, client data, or proprietary strategies.	AC	5			AC = Until superseded or until termination of employment.			
124	3.3.032	Equal Pay Records	Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the federal Equal Pay Act.		2						29 CFR 1620.32(c).



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145	3.3	Former Employee Verification Records — Departmental Only	Departmental copies of employee information.	AC	5			AC = Termination of employment.		See RSIN 3.3.011 for Human Resources office copy.	
146	3.3.011	Former Employee Verification Records — Human Resources Office Only	Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access authorization.	AC	75			AC = Termination of employment.		See also AIN 145 for departmental office copy. See RSIN 3.1.038 for Public Access Option Records.	
253	3.3	Human Resources — New Position/ Reclassification Letters		PM							
254	3.3	Human Resources — Veterans' Preference Documents	Records required to prove eligibility for hiring preferences in federal civil service jobs.	PM							
428	3.3.030	Internal Training Administration Records	Records documenting the planning, development, implementation, administration, and evaluation of in-house training programs, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids used in in-house training programs.	AC	2			AC = Close of training session, after training materials superseded, or termination of training program, as applicable.		See RSIN 1.1.043 for external training records. See RSIN 3.1.027 for individual employee training records. CAUTION: Does not include hazardous material training records. See RSIN 5.4.007.	
179	3.3.025	Job Procedure Records	Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US	3						
187	3.3.010	Labor Statistics Reports	Reports providing statistical information on labor force.		3						
274	3.3.024	Personnel Policies and Procedures	Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.	US	3						
227	3.3.015	Positions/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3						



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603	3.3.033	Recruitment Plans	Diversity and recruitment plans and related workforce analyses.		3						Texas Labor Code, 21.501 and 502.
434	3.3.023	Reimbursable Activity Records	Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE	3						
424	3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the agency from TWC or its predecessor pertaining to employees.		3						
449	3.3.020	Work Schedules/Assignments	Work, duty, shift, crew, or case schedules, rosters, or assignments.	AV							
14	3.4.001	Accumulated Leave Adjustment Requests	Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances at end of fiscal year, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE	3						
188	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3						
240	3.4.004	Overtime Schedules and Authorizations	Records created to schedule time worked by employees outside of or in addition to their regular working hours, including approval authorizations.		2					CAUTION: Only includes overtime schedules and authorizations. See RSIN 3.4.006 for timekeeping records.	
325	3.4.008	Sick Leave Pool Documentation	Records documenting number of hours transferred in and out of comprehensive sick leave pool.	FE	3						
426	3.4.006	Time and Attendance Records	Records documenting individual employee's hours worked, including work schedules and documentation evidencing adherence to or deviation from normal hours for those employees working on fixed schedules.		4						40 TAC 815.106(i).



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768	12.3.001	Time Cards and Time Sheets— Work-Study Students	Timecards, time sheets, and work-study time certificates documenting hours worked by work-study student employees. The series is used for payroll purposes and to meet federal requirements for documenting time worked by work-study students.	AC	3			AC = End of award year for which the aid was awarded and disbursed.		See RSIN 3.4.006 for all other time cards and time sheets, including those of non-work-study student employees.	34 CFR 668.24(e)(1), 34 CFR 675.19(b).
427	3.4.007	Time Off and/or Sick Leave Requests	Requests and authorizations for vacation, compensatory, sick, Family and Medical Leave Act (FMLA), sick pool leave, and other types of authorized leave, and supporting documentation.	FE	3						Government Code, Section 661.152(d); 29 CFR 825.500(b).
9	4.1.001	Accounts Payable Information	Claims; invoices; statements; copies of checks and purchase orders; expenditure authorizations; ledgers; encumbrance, purchase, general journal, expenditure, and special vouchers; and similar records that serve to document disbursements, including those documenting claims for and reimbursement to employees for travel and other expenses.	FE	3						
611	4.1.009	Accounts Receivable Information	Bill copies or stubs, statements, billing registers, account cards, deposit warrants, cash receipts, credit card receipts, receipts books, cash transfers, daily cash reports, reconciliations, general journal vouchers, special vouchers, and similar records that serve to document money owed to or received by a state agency and its collection or receipt.	FE	3						
176	4.1.006	Investment Transaction Files	Records documenting the investment of any public funds that evidence the investment of such funds, the cancellation or withdrawal of investments, and similar activities.	FE	5					See RSIN 4.5.002 for reports associated with investments.	



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172	4.5.002	Fiscal Management Reports	Internal and external periodic fiscal management reports and associated worksheets, including federal financial reports, salary reports, HUB reports, investment performance reports, etc.	FE	5					CAUTION: This series does not include fiscal reports created to fulfill grant requirements. See RSIN 4.7.008.	
25	4.5.003	Annual Financial Reports	Annual Financial Reports (AFR) required by the General Appropriations Act (100 Day Report).	AC	6			AC = September 1 of odd-numbered calendar years.		<p>ARCHIVES NOTE: The final version of Annual Financial Reports must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(2)(a). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period.</p> <p>CAUTION: If an agency does not produce a biennial or annual narrative report as described in RSIN 1.1.066, then the archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, TSLAC.</p>	
8	4.7.001	Accounting Policies and Procedures Manual	Records documenting the internal and external procedural requirements with respect to the accounting department of a state agency.	US	3						



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66	4.7.004	Capital Asset Records	Documentation relating to the capital and fixed assets of a state agency, including equipment or property history cards containing data on initial cost, depreciation schedules or summaries used for capital outlay budgeting, and property sale, auction, or disposal records of agency owned equipment and property.	LA	3						
73	4.7.005	Claim Files	Records documenting requests for payment of a sum of money according to the terms of a policy or contract.	AC	3			AC = Resolution of claim.			
155	4.7.008a	Grant Records — Awarded	This series documents state, federal, and other sponsored grant projects participated in or administered by state agencies. It includes grant authorization records, which provide evidence of the award of grants to or by agencies; grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by agencies.	AC	3			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Records in this series may be subject to Government Code 441.1855. Agencies must ensure that records are retained for the appropriate retention period.	
617	4.7.008b	Grant Records — Non-Awarded	Non-awarded, denied, or unfunded grant applications and proposals.	AC	2			AC = Date of notification.			
55	4.7.010	Long-Term Liability Records	Records documenting financial obligations of a state agency that are not payable within one year of the date of the balance sheet, including debentures, loans, deferred tax liabilities, bonds, and pension obligations.	AC	3			AC = Retirement of debt.			
326	4.7.012	Signature Authorizations	Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	AC	4			AC = Until superseded, date of expiration, or termination of employee, whichever sooner.			



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65	4.7.003	Uncollectable Accounts	Records of accounts deemed uncollectible, including write-off authorizations and returned checks, warrants, and drafts.	AC	3			AC = Date account deemed uncollectable.			
42	4.8.001	Banking Records	Bank statements, credit card statements, cancelled checks, check registers, deposit slips, debit and credit notices, reconciliations, and other banking related records.	FE	3						
26	4.9.001	Annual Operating Budgets	Required by the General Appropriations Act. Includes encumbrances and documentation about budget transfers and revisions, as well as detail charts of accounts.	FE	3				O	ARCHIVES NOTE: Deposit one copy of final version in the University Archives.	
72	5.1.012	Charge Schedules/Price Lists	Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges.	US	3						
86	5.1.001a	Contract Administration Files — 9/1/2015 and After	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide. Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the instrument according to its terms.		See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.2.028 for building construction contracts. See RSIN 5.1.017 for contract logs.	Government Code, 441.1855.



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554	5.1.001b	Contract Administration Files — 8/31/2015 and Prior	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide. Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the instrument according to its terms.		See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.2.028 for building construction contracts. See RSIN 5.1.017 for contract logs. NOTE: Refer to SB20 (84th Leg.) for retention period context.	Government Code, 441.1855.
85	5.1.017	Contract Logs	List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE	3						
205	5.1.015	Correspondence Tracking Records	Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service (USPS) or by private couriers.		1						
100	5.1.003	Delivery Reports	Records documenting incoming or outgoing deliveries, including through private courier services.		2						
171	5.1.013a	Insurance Policies — 9/1/2015 and After	Liability, theft, fire, health, life, automobile, and other policies for government property and personnel including supporting documentation relevant to the implementation, modification, renewal, or replacement of policies. Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the policy according to its terms.			Government Code, 441.1855.



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555	5.1.013b	Insurance Policies — 8/31/2015 and Prior	Liability, theft, fire, health, life, automobile, and other policies for government property and personnel including supporting documentation relevant to the implementation, modification, renewal, or replacement of policies. Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the policy according to its terms.		NOTE: Refer to SB20 (84th Leg.) for retention period context.	Government Code, 441.1855.
618	5.1.010	Licenses and Permits for Non-Vehicles	Licenses and permits obtained from external agencies or organizations in order to perform operations.	AC	2			AC = Expiration date of license or permit.		CAUTION: Does not include licenses and permits issued by an agency as part of its statutory responsibilities.	
206	5.1.004	Mailing and Telecommunications Listings	Any mailing address, telephone or fax number, or e-mail address records maintained by an agency on its employees or on entities or persons it serves.	US							
204	5.1	Mail — Forwarding Address			1						
228	5.1.014	Office Procedures	Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency; for example, agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US	1						
256	5.1.011	Photocopier and Telefax Usage Logs and Reports	Registers or logs of print copies and fax transmissions made by user or in total.	AV							
278	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage.	FE	3						
311	5.1.007	Requisitions for In-Agency or Inter-Agency Copy/Printing Service	Includes word processing and data processing.	AV							



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415	5.1.018	Surveillance Videos	Surveillance videos of buildings, facilities, vehicles, or other state property.	AV						See RSIN 5.4.001 or 5.4.014 if video is needed for an accident investigation or RSIN 1.1.048 if the video is needed as evidence in litigation. The disposal of surveillance videos need not be documented through destruction signoffs (RSIN 1.2.001) or in records disposition logs (RSIN 1.2.010).	
29	5.2.001	Appraisals — Building or Property	Assessments or evaluations of the value of state-owned buildings or property.	AV					O		
52	5.2.008	Boiler Records	Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc.	LA	3					For service agreements or contracts related to equipment repairs and service, retain in accordance with RSIN 5.1.001a or 5.1.001b.	
58	5.2	Building Capital Improvement Program	Reports summarizing the lists of building projects for each campus which is submitted to the Coordinating Board annually.	AC	3			AC = After submission to the Coordinating Board.	O		
59	5.2.028	Building Construction Contract and Inspection Records	Building construction contracts, surety bonds, and inspection records.	LA	10				O	See also RSIN 5.2.002 and 5.2.003a/b.	



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60	5.2.002	Building Construction Project Files	Project records related to planning, design, construction, conversion, or modernization of state facilities, structures, infrastructure, and systems, including feasibility, screening, and implementation studies; topographical and soil surveys and reports; as-builts; laboratory test reports; environmental impact statements; correspondence; successful and unsuccessful bid documentation and other related documentation.	AC	10			AC = Completion of project.	O	See RSIN 5.2.003a/b and 5.2.028 for further retention of completed building documentation. See RSIN 5.3.007a/b for additional bid documentation retention periods, including RSIN 5.3.007c for invalid bids that do not meet agency submission requirements. ARCHIVES NOTE: Archival review designation is for state-owned buildings only.	
61	5.2.003a	Building Plans and Specifications — State-Owned	Includes architectural and engineering drawings, profiles, and blueprints of planning, design, construction, conversion, or modernization of state-owned facilities, structures, infrastructure, and systems.	LA					O	See RSIN 5.2.002 and 5.2.028.	
553	5.2.003b	Building Plans and Specifications — Leased	Includes architectural and engineering drawings, profiles, and blueprints of planning, design, construction, conversion, or modernization of leased facilities, structures, infrastructure, and systems.	AC	2			AC = Termination or cancellation of lease according to its terms.		See RSIN 5.2.002 and 5.2.028.	
62	5.2.004	Building Space Requests	Records documenting building space requests and approvals. Information on request forms may include but is not limited to: the building and room; the reason for the change; parties involved in the request; date of request and approval.		1						



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606	5.2.005	Calibration Records (Equipment or Instrument)	Records documenting the determination, checking, or rectifying of any instrument giving quantitative measurements.		2					CAUTION: Some equipment and instruments may require longer retention period. State agencies must determine if longer retention period is required based on the type of equipment or instruments they use within their agency.	
99	5.2	Deeds and Easements	Real estate documents defining property ownership and usage rights.	LA							
210	5.2.024	Equipment Descriptions and Material Specifications	Equipment and material descriptions and specifications that may include but are not limited to detailed descriptions; lists of raw materials and ingredients; physical characteristics of items; special handling procedures; or technical drawings.	AC	2			AC = Equipment or material is no longer in the agency.			
129	5.2.010	Equipment Manuals		LA							
131	5.2.011	Equipment Warranties		AC	1					AC = Expiration of warranty.	
132	5.2.012	Estimate Files (Supply and Repair Cost Estimates)	Quotes for minor construction and repair projects and supplies. Includes supporting documentation, as applicable.		1						
138	5.2.026	Facilities Reservation Logs	Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.		2						
70	5.2.006	Inventory and Property Control Records	Records documenting the inventorying, maintenance, usage, checkout, and disposal of supplies, equipment, and property of a state agency. Includes lost, stolen, and damage reports	FE	3					See RSIN 5.2.008 for the maintenance logs of individual pieces of equipment.	



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127	5.2.008	Inspection, Repair, and Maintenance Records — Equipment	Equipment history file, which may include logbooks and requests for installation, moves, service, repair, etc.	LA	3					For service agreements or contracts related to equipment repairs and service, retain in accordance with RSIN 5.1.001a/b. For vehicle maintenance records, see RSIN 5.6.003.	
174	5.2.016	Inventory System Update Listings	Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.	AC				AC = Transfer of information into annual listing.		See RSIN 5.2.006 for annual inventory listing.	
255	5.2	Pest Control Records	Records of pesticide applications, inspections and sampling notifications, and other documentation required by pesticide regulations.		2						Texas Department of Agriculture 76.114(c) and by regulations 4 TAC 7.33(a) and 4 TAC 7.144(a).
275	5.2	Pool Chemical Reading Logs		FE	3						
289	5.2.018	Quality Control Reports	Documentation and reporting on adherence to procedures that ensure quality of a process, product, or service.		2					See RSIN 2.2.013 for quality control records related to IT procedures.	
299	5.2	Refrigerant Records			3						
319	5.2	Sanitation Landfill Tickets		FE	3						
324	5.2.019	Service Orders	Requests or work orders for repairs or maintenance to facilities, vehicles, or equipment completed by internal agency personnel or external service providers.		1						
329	5.2	Site Development — Project and Planning Files and Related Materials		PM					I		
330	5.2.027	Space Utilization Reports	Reports summarizing efficiency of facility space utilization, which may include data on room usage, demand, allocation, and capacity.	AV							



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438	5.2.022	Utility Usage Reports	Any type of usage report or log used to monitor utilities such as gas, electric, water, etc.	AV						CAUTION: Does not include utility usage reports for agencies that operate their own utilities.	
448	5.2	Water Tests/Treatment			3						
45	5.3.007a	Bid Documentation — 9/1/2015 and After	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, awarded and unawarded bids, and bid tabulation /evaluations. Associated with a contract executed, renewed, or amended on or after September 1, 2015.	AC	7			AC=Expiration or termination of the instrument according to its terms and decisions not to proceed with the bid.			Government Code, 441.1855.
551	5.3.007b	Bid Documentation — 8/31/2015 and Prior	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, awarded and unawarded bids, and bid tabulation /evaluations. Associated with a contract executed, renewed, or amended on or before August 31, 2015.	FE	3					NOTE: Refer to SB20 (84th Leg.) for retention period context.	Government Code, 441.1855.
552	5.3.007c	Bid Documentation — Invalid Bids	Invalid bids that do not meet agency submission requirements and are not included in bid evaluation process (e.g., withdrawn, missed submission deadline, incomplete submission, etc.)	AC	2			AC = Date of notification of denial or date of withdrawal, as applicable.			
518	16.4.001	Food and Alcohol Inventory Records	Documents the dollar value of food, alcohol, and other consumable stock at the end of each month for planning, ordering, and fiscal accounting purposes. May include but is not limited to: in-house computer generated food inventory reports; alcohol inventory reports; summary reports; and other related documentation and correspondence.	FE	3					See RSIN 11.1.010 for other permits and licenses issued by the university.	
149	5.3.003	Freight Claims	Freight or cargo claims against carrier for damage or loss to a shipment.	AC	2			AC = Resolution of claim.			43 TAC 218.61(d); 49 USC 14706(e).



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287	5.3.008	Purchasing Logs	Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE	3						
310	5.3.009	Requests for Information	Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC				AC = Decision not to proceed with the procurement.		See RSIN 1.1.020 and 1.1.021 for public information requests. CAUTION: If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with RSIN 5.3.007a/b/c.	
232	5.3.004	Shipping Information	Shipping information, including order acknowledgements, packing slips, and related documentation.	AV						CAUTION: Some shipping information may require longer retention period. State agencies must determine if longer retention period is required based on the type of materials shipped to or from their agency.	
620	5.3.010	Vendor Records/W-9	W-9 IRS Form used to request a taxpayer identification number (TIN) for reporting information to the Internal Revenue Service (IRS). This includes W-9 forms received by a state agency from vendors.	AC	3			AC = Date account is opened or date instrument purchased.		26 CFR 31.3406(h)-3(g).	
622	5.4.014a	Accident Reports — Adults	Reports of accidents to adults on state property or in any other situation in which the state agency could be a party to a lawsuit.	AC	3			AC = Date of report, or if a claim is filed, after settlement or denial of claim, whichever applicable.			
623	5.4.014b	Accident Reports — Minors	Reports of accidents to minors on state property or in any other situation in which the state agency could be a party to a lawsuit.	AC	3			AC = Date minor reaches the age of majority, or if a claim filed, after settlement or denial, whichever applicable.			



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760	5.4.018	Annual Audit Plan	Includes working papers and agency risk assessment used to develop the plan, per Texas Internal Auditing Act requirement.	AC	7			AC = After final plan has been issued.		See RSIN 1.1.002 for individual Audit records not related to the development of the Audit Plan.	Government Code, 2102.013.
626	5.4.019	Audit Peer Review — Working Papers	Documents collected or generated as part of the process of reviewing other state agency internal audit programs. Includes but is not limited to: self-assessments, worksheets, surveys or questionnaires, evaluations, and other documents as described in the State Agency Internal Audit Forum (SAIAF) Peer Review Manual.	AC	1			AC = After final report has been issued.		See RSIN 1.1.002 for individual Audit records not related to the peer review of an Audit Plan.	Government Code, 2102.007(a)(5).
106	5.4.013	Continuity of Operations Plans (COOP)	Plans developed (per Texas Labor Code, 412.054) to mitigate the damage of potential events that could endanger an agency's ability to function. Includes disaster preparedness, response, and recovery plans.	US						See RSIN 5.4.017 for records related to responding or recovering from an emergency.	
605	5.4.017	Emergency Response and Recovery Records	This series documents the events and damages to institutional property due to storms, riots, fires, droughts, floods, and other events affecting citizens and facilities within the jurisdiction of the institution. This series may include but is not limited to: diaries; logs; reports; photographs; notes which indicate or document what happened, when, and where; and related documentation and correspondence.		3				O	See RSIN 5.4.013 for Continuity of Operations Plans (COOP). CAUTION: If grant monies are received to assist with the response or recovery, the retention requirements for this series may vary depending on the specific funding agency.	
111	5.4	Emission Records	Documentation detailing the release of pollutants into the atmosphere from mobile sources (vehicles) or stationary sources (industrial facilities).	LA							
133	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency.	US							



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621	5.4.008	Hazard Communication Plans	Plan that provides information to employees about the hazardous chemicals to which they may be exposed to in their workplace.	US	5						Texas Health and Safety Code, 502.009(g).
722	5.4	Hazardous Material Shipping Papers	Description of hazardous materials to be transported.		2					Shipping papers required under 49 CFR 172.200(a).	49 CFR 172.201(e).
723	5.4.007	Hazardous Material Shipping Employee Training Records	Record of current training of each hazmat employee.		5						49 CFR 172.704 (d). Texas Health and Safety Code, 502.009(g).
624	5.4.015	Hazardous Materials — Administrative Records	This series documents the use of hazardous carcinogenic compounds, building by building survey and plan to correct asbestos and other material hazards. This series may include but is not limited to: surveys; monitoring tests and reports; data forms; building plans; correction checklists; removal job records; research protocols; lists of carcinogenic compounds used; environmental, biological, and material safety monitoring reports concerning toxic substances and harmful physical agents in the workplace, including analyses derived from such reports.	AC	30			AC = Date of project or research completion.		See RSIN 5.4.016a/b for hazardous material exposure records.	29 CFR 1910.1001; 29 CFR 1910.1020(d)(ii); 25 TAC 295.62(a).
510	5.4.016a	Hazardous Materials — Employee Exposure Records	Environmental, biological, and material safety monitoring reports, including health or physical examination reports or certificates of employees, who have experienced exposure to toxic substances, harmful physical agent, or bloodborne pathogens in the workplace, including analyses derived from such reports.	AC	30			AC = Termination of employment.			29 CFR 1910.1020(d); 29 CFR 1910.1001; 29 CFR 1910.1020(d)(1)(ii).



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604	5.4.016b	Hazardous Materials — Periodic Monitoring	Environmental, biological, and material safety monitoring reports, including health or physical examination reports or certificates of employees, for whom periodic monitoring of health or fitness is required concerning toxic substances, harmful physical agent, or bloodborne pathogens in the workplace, including analyses derived from such reports.	US	2						29 CFR 1910.1020(d); 29 CFR 1910.1001; 29 CFR 1910.1020(d)(1)(ii).
161	5.4	Hazardous Materials Disposal Records	Records tracking the disposal of hazardous and solid waste activities.	PM						Opinion of Texas Tech University (TTU) Environmental Health and Safety.	
162	5.4.007	Hazardous Materials Training Records	Records of training given to employees in an agency hazard communications program. May include but is not limited to date of class, roster of attendees, subjects covered, and instructors.		5					See RSIN 3.1.027 for individual employee training records.	Texas Health and Safety Code, 502.009(g).
7	5.4.001	Occupational Accident Reports and Associated Documentation	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the State Office of Risk Management (SORM) or its predecessors or maintained internally on accident frequency.	CE	5					See RSIN 5.4.014a/b for non-employee accidents.	29 CFR 1904.33; 28 TAC 120.1(c).
209	5.4.010	Safety Data Sheets	Safety Data Sheets (SDS) that list information relating to occupational safety and health for the use of various substances and products.	AC				AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.		CAUTION: If Workplace Chemical Lists (RSIN 5.4.009) are not maintained, these records must be maintained for 30 years	29 CFR 1910.1020(d)(1)(ii)(B).
169	5.4.003	Safety, Drill, and Inspection Records	Fire, safety, emergency drill, alarm, and other inspection records of agency facilities and equipment, including orders issued by inspectors to correct deficiencies in compliance with any code or regulations.	AC	3			AC = Date of drill, alarm, inspection, or date of the correction of deficiency, whichever applicable.		CAUTION: Does not include inspection reports of building construction. See RSIN 5.2.028.	



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322	5.4.012	Security Access Records	Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency or state facilities, equipment or automated systems.	AC	2			AC = Until superseded, date of expiration, or date of termination, whichever sooner.		CAUTION: Does not include inspection reports of building construction. See RSIN 5.2.028.	
445	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.		3						
71	5.4.009	Workplace Chemical Lists	List of each hazardous chemical normally present in the workplace.		30						Texas Health and Safety Code, 502.005(d).
47	5.5.007	Disputed Call Documentation	Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long-distance use.	AC	3			AC = Dispute resolved or repaid + FE.			
203	5.5.002	Telephone Activity Records	Telephone logs created for internal documentation purposes; station activity reports of internal listings of incoming/outgoing telephone activity to individual telephone stations; operator call transfers; summary detail reports; and system activity reports of internal listings of all incoming/outgoing agency telephone activity.	AV						See RSIN 4.1.001 for telephone bills.	
170	5.6.003	Inspection Repair and Maintenance Records — Vehicles	Records and documentation related to inspections, repairs, and maintenance for state vehicles.	LA	1					See RSIN 5.2.008 for non-vehicle equipment maintenance records.	
200	5.6.004	License and Driving Record Checks		AC				AC = Until superseded or until termination of employment.			
243	5.6.009	Parking Permits or Assignments	Records documenting issuance of parking permits and assignments.	US						See RSIN 4.1.009 for payment of permit fees.	
440	5.6.005	Vehicle Use Reports	Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	FE	3						



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439	5.6.007	Vehicle Titles and Registrations	Vehicle titles, registration information, and owner manuals for state vehicles.	LA							
441	5.6	Vehicles — Inventory		FE	3						
442	5.6	Vehicles — Minimum Use Waivers	Minimum use of vehicle records.	LA	1						
443	5.6	Vehicles Request for Transportation		FE	3						
6	16.2.002	Accession, Preservation and Deaccessioning Records — Archives, Library & Museum	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 1.2.013 for archival finding aids.	
49	16.2	Bindery Lists	Records documenting library materials sent to commercial bindery companies to be repaired, rebound, or bound for the first time.	FE	3						
195	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 4.1.009 for fines. The disposal of circulation records need not be documented through destruction authorizations (RSIN 1.2.001), or in records disposition logs (RSIN 1.2.010).	



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492	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. These records include: 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.	
517	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				AC = Conclusion of exhibit.	O	ARCHIVES NOTE: For museums, archival review and selection may be performed by museum curatorial staff. Materials pertaining to major exhibits may possess long-term historical value and may be retained either in the institutional archives or the museum unit, as appropriate.	
519	16.2	Exhibits Online — Digital Files and Webpages		AC				AC = Until purpose has been fulfilled and no longer needed.			
196	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.	
516	16.2	Library — Courtesy Borrowers Records	Application forms for guest borrowers of library materials.	AC				AC = Expiration of borrowing privileges and clearing of fines.			
531	16.2	Library — Equipment Checkout Records	Records documenting the physical control of the library's lending program for equipment to individual borrowers.	FE	3					Retain contract life of asset.	



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493	16.2.008	Library Catalog	Catalog of bibliographic records used as a guide to library holdings.	US						CAUTION: See RSIN 4.7.004 for records documenting purchase of library materials. The disposal or supersession of library catalog records need not be documented through destruction authorizations (RSIN 1.2.001v), or in records disposition logs (RSIN 1.2.010).	
199	17.1.009	Library Course Materials	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.
496	16.2.009	Library Materials Control Records	Records of the acquisition and cataloging of library material.	AC				AC = Catalog updated.		See RSIN 16.2.008 for library catalog. See RSIN 4.7.004 for records documenting purchase of library materials. The disposal or supersession of library catalog records need not be documented through destruction authorizations (RSIN 1.2.001), or in records disposition logs (RSIN 1.2.010).	



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503	16.2.010	Patron Registration Forms	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.		5					See RSIN 5.4.011 for sign-in sheets, guest books, patron logs, and similar records documenting visitors to limited access or restricted areas of university facilities.	
494	16.2.011	Permission History Files	Records of the archives and museum granting (or denying) permission to reproduce images of items in the collection. Includes image permission forms and correspondence requesting permission to publish images from archival collections.	AV							
502	16.2.012	Pull Slips	Tracks patron requests for archival materials in the archives and the return of the items to their appropriate storage location.		5						
495	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 1.1.064 for performance measures documentation. See RSIN 1.1.069 for activity reports.	
388	15.2.001	Academic Action Authorizations	Authorizations for academic actions, such as academic probation, suspensions, dismissals, reinstatements, etc.	AC	5			AC = Graduation or date of last attendance.		See RSIN 15.5.007 for disciplinary action records. Buckley Amendment, Confidential record.	
1	17.1	Academic Calendars			5						



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740	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	
337	15.2.009	Academic Records — College/Departmental Student 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, add/drop class requests, and evidence of graduation or last date of attendance.	AC	5			AC = Graduation or date of last attendance.		CAUTION: International student academic records must be retained at least 1 year after final notice to USCIS. See RSIN 15.2.026 for student advising records and RSIN 15.5.007 for disciplinary action records. Buckley Amendment, Confidential record.	
338	15.2	Academic Records — Registrar's Files	Student academic records documenting point of enrollment to graduation or date of last attendance. May include but not limited to: personal data, graduate student qualifying examinations, placement tests, transcripts, degree audits, and evidence of graduation or last date of attendance.	PM						Buckley Amendment, Confidential record.	



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339	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						Buckley Amendment, Confidential record.
2	15.1.006	Academic Testing Services ACCUPLACER Applications and Scores [Master copies]		PM							Buckley Amendment, Confidential record.
3	15.1.006	Academic Testing Services American College Test (ACT) Residual Applications and Scores [Master copies]		PM							Buckley Amendment, Confidential record.
4	15.2.002	Academic Testing Services College Level Examination Program (CLEP) Score Rosters [Master copies]		PM							Agency policy to retain longer than the TSLAC minimum retention. Buckley Amendment, Confidential record.
5	15.2	Academic Testing Services — Student Exam Applications and Correspondence for Compliance, Credit, Certifications, and Other Testing	Applies to exams, applications for exams, and related materials administered and monitored by Academic Testing Services. Includes TSI, CLEP, Distance, TFCP, DOD, TEAS, and others. Includes daily sign in and student sign in sheets.	AC	3			AC = Testing Date.			CAUTION: This version applies to the Office of Academic Testing Services. Buckley Amendment, Confidential record.



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647	15.2.002	Academic Testing Services Student Exam Scores and Reports (Internal) for Admission and Placement	Applies to exams, applications for exams, and related materials administered and monitored by Academic Testing Services. Includes CLEP, correspondence applications, ACT Residual Applications and Scores, and Quick TASP/Quick THEA Applications.	AC	5			AC = Testing Date.		CAUTION: This version applies to the Registrar's Office. Buckley Amendment, Confidential record.	
13	17.2.002	Accreditation Reports, Professional	Documents the accreditation process for the colleges, units, and related program, and may include: self-assessment reports, on-site inspection reports, final reports sent to accreditation organization, accreditation organization evaluation report, and related documentation and correspondence.	PM					O		
12	17.2.001	Accreditation Records, Professional — 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.		CAUTION: Accrediting agencies may require longer retention periods. Refer to accrediting agency to determine the term of the certification period.	
364	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						Retention period based on AACRAO guidelines for enrollment statistics. For raw data or working files used to create these reports, see RSIN 1.1.065.	



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700	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, prior learning assessments, microcredential, continuing education conversion, and similar documentation used by a university to evaluate and determine award of credit.	PM						CAUTION: This version applies to the Registrar's Office. Buckley Amendment, Confidential record.	
766	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, prior learning assessments, microcredential, continuing education conversion, and similar documentation used by a university to evaluate and determine award of credit.	AC	3			AC = Graduation or date of last attendance.		Buckley Amendment, Confidential record.	
702	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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23	11.1.001	Alumni Association Program Records	Documents the activities of an institution or department's alumni and may also provide alumni offices with information on alumni. May include but is not limited to: memberships lists with names, addresses, employer names and addresses, and positions; minutes, by laws and directories of clubs in many communities and several major cities throughout the United States; promotional materials concerning annual gatherings; homecoming plans and programs; data cards and files for individual alumni; degree recipient lists; outstanding alumni lists; foreign student rosters; international alumni club records; and notes, memoranda, and related correspondence concerning general alumni affairs.		5					O	See RSIN 5.1.004 for alumni mailing list.	
725	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	Refer to RSIN 5.1.004 for alumni mailing list.	
361	15.2.014	Application for Graduation Records	Student applications for graduation, degree audit forms, graduation authorizations, and diploma distribution records.	AC	5			AC = Graduation or date of last attendance.			Buckley Amendment, Confidential record. AACRAO guidelines	



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343	15.1.001	Applications for Admissions — Enrolled/accepted	Includes transcripts, acceptance letters, advanced placement records, applications for admission, correspondence, entrance examination reports, letters of recommendation, medical records, placement scores, readmission forms, and test scores.	AC	5			AC = Graduation or date of last attendance.		Buckley Amendment, Confidential record. (Students may have access to admissions comments).	8 CFR 214.3(g).
344	15.1.002	Applications for Admissions — Not enrolled and/or rejected	Includes transcripts, acceptance letters, advanced placement records, applications for admission, correspondence, entrance examination reports, letters of recommendation, medical records, placement scores, readmission forms, and test scores.	AC	1			AC = Beginning of semester of application.		Buckley Amendment, Confidential record. (Students may have access to admissions comments).	
345	15.1.002	Applications for Admissions — Not enrolled and/or rejected — Health Sciences Center	Includes transcripts, acceptance letters, advanced placement records, applications for admission, correspondence, entrance examination reports, letters of recommendation, medical records, placement scores, readmission forms, and test scores.	AC	1			AC = Beginning of semester of application.		Buckley Amendment, Confidential record. (Students may have access to admissions comments).	
467	18.2.018	Athletic Eligibility Records	Academic progress reports used to provide a record of verification by intercollegiate athletics of student athletes' academic progress to the NCAA or NAIA.	AC	10			AC = Student separation from the department or university.			



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569	15.3	Athletic Scholarship and Grant In Aid Award Records — All records except NCAA	This series is used to provide athletic departments with information pertaining to player eligibility and receipt of financial aid in the form of scholarships including grant in aid scholarships, to monitor accounts, and to assist in complying with NAIA and conference rules and regulations. These records include: squad lists which furnish summary information; conference eligibility reports; team roster update sheets; scholarship count sheets showing who is on the schedule to receive aid; applications; nominee lists; eligibility questionnaires; eligibility reports which determine years of eligibility unused; credit voucher request sheets notes; and related documentation and correspondence.		5						
568	18.2	Athletic Scholarship and Grant In Aid Award Records — NCAA Records	This series is used to provide athletic departments with information pertaining to player eligibility and receipt of financial aid in the form of scholarships including grant in aid scholarships, to monitor accounts, and to assist in complying with NCAA, and conference rules and regulations. These records include: squad lists which furnish summary information; conference eligibility reports; team roster update sheets; scholarship count sheets showing who is on the schedule to receive aid; applications; nominee lists; eligibility questionnaires; eligibility reports which determine years of eligibility unused; credit voucher request sheets notes; and related documentation and correspondence.		7						



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33	18.2	Athletics — Game Films		AV					O		
39	5.2.006	Audio/Visual Software and Storage Lists	Records documenting the inventorying, maintenance, checkout, and disposal of AV software property of a state agency. Includes lost, stolen, and damage reports.	FE	3					See RSIN 5.2.008 for the maintenance logs of individual pieces of equipment.	
544	11.1.003	Award Administration and History Records	Records documenting the administration, rules, and history of awards, fellowships, and scholarships based on merit or achievement. May include but not limited to: eligibility terms and selection criteria; award history and information on funding sources; award notifications; summary lists of winners, and biographies of winners.	AC				AC = Termination of award.	O	ARCHIVES NOTE: Only institutional awards merit archival review. Department-level awards do not need to be reviewed for archival value. See RSIN 1.1.019 for press releases. See RSIN 11.1.004 for award selection committee records.	
558	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.	
387	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.		Buckley Amendment, Confidential record. (Students may have access to admissions comments).	



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701	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.
514	16.5.004	Childcare Center Records for Individual Children	This series documents the participation of children in programs sponsored by the institution. The series may include: applications; enrollment records; progress reports and assessments; immunization records; parental consent and release forms; activity records; lists of attendees; and related correspondence.	AC		3		AC = Child's last day in care.		Administrative rules of Department of Family and Protective Services: 40 TAC 746.801 (list of records that must be kept at child care center); 40 TAC 746.803 (retention of child care center records) 3 months required for all children's records listed in 40 TAC 746.801.	40 TAC §746.603(a)(1-8, 10); 40 TAC §746.603(b)(2-3).
718	16.5.006	Childcare Center Records — Licensing, Safety, and Compliance	Childcare center administrative records required under 26 TAC 746.801.			3				CAUTION: Refer to RRS Section 3 for personnel and training records, including employee attendance records.	§746.801 and §746.803.
719	16.5.007	Childcare 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		AC = Administration of medication.		See RSIN 16.5.004 for health-care professional recommendations or orders for specialized medical assistance.	§746.603(a)(9) and (b)(1).



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717	16.5.003	Childcare Staff Records	Child care staff applications, background check reports, and training documentation.	AC	2			AC = Termination of staff.		\$746.907, training records for the current director and caregivers, which must be kept "for at least the current and last full training years" (but not included in this record description, as state employee training records must be kept 5 years after termination of employment under RRS 3.1.027). CAUTION: If the child care center is notified of an investigation or conviction of a staff member for an act of sexual abuse, as defined by §21.02 of the Texas Penal Code, which occurred at the center, the center shall retain all records related to the investigation or conviction until the department notifies the center that the record retention is no longer required.	\$746.901 and \$746.907
704	16.5.009	Clark Scholars Program — Applications for Admissions — Enrolled/accepted	Includes transcripts, acceptance letters, advanced placement records, applications for admission, correspondence, entrance examination reports, letters of recommendation, medical records, placement scores, readmission forms, and test scores.	AC	5			AC = End of program session or student separation from program, as applicable.		Buckley Amendment, Confidential record. (Students may have access to admissions comments).	
705	16.5	Clark Scholars Program — Applications for Admissions — Not enrolled and/or accepted	Includes transcripts, acceptance letters, advance placement records, applications for admission, correspondence, entrance examination reports, letters of recommendation, medical records, placement scores, readmission forms, and test scores.	AC	2			AC = Beginning of semester of application.		Buckley Amendment, Confidential record. (Students may have access to admissions comments).	



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74	16.5.009	Clark Scholars Program — Application Forms		PM							
75	16.5.009	Clark Scholars Program — High School Transcripts		PM							
706	16.5.009	Clark Scholars Program — Student Files	Includes biographical information, independent contract questionnaires, vendor setup forms, housing waivers, medical treatment release forms, and program agreements.	AC	5			AC = Graduation or date of last attendance.		Buckley Amendment, Confidential record.	
76	15.5	Class Roll Summary			5						
77	15.5	Class Rolls and Rosters	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.		5					“Policy of Texas Tech not to retain permanently.”	
353	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						
497	17.1.002	Class Schedules and Course Catalogs	Final published schedule of classes and course catalogs.	PM					O		
508	15.2.007	Classroom Scheduling Records	Scheduling of physical classroom space for course instruction.		1						
498	17.1	Commencement Programs	Published commencement ceremony programs.	AV					I	Transfer one copy of the published program to the University Archives.	



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566	17.1.004	Commencement Records	Commencement program planning and implementation at the institution. May include but not limited to: commencement attendance forms; and planning records created by commencement committees or other planning groups.	AC	4			AC = After commencement events.	O		
570	18.2.005	Competition Record — NCAA Reporting Requirements	This series provides a summary record of individual games and competitions and is used to comply with NCAA and NAIA reporting requirements for both revenue and non revenue producing sports. Information on the individual forms includes: sport name; opponent name; date; event location; final score; player names and positions; time played per athlete; and the signature of the head coach or athletic director.		10						
571	18.2.012	Competition Scheduling Records	This series documents competition schedules set up with other institutions by coaches and the athletic director. This series may include but is not limited to: correspondence; phone notes; contracts; final schedules; and related documentation and correspondence.	AC	7			AC = Expiration of contract.		CAUTION: Use this record series in conjunction with RRS 5.1.001a/b for contracts.	
354	15.2.009	Comprehensive Exams	Student cumulative exams required for completing degree programs, including master's and doctoral qualifying exams, and honor capstones at the TTU Health Sciences Center	AC	3			AC = Graduation or date of last attendance.			22 TAC § 681.41(q) and 22 TAC § 465.22(d)



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515	16.5	Consent/Release Forms — Child and Youth Program Participant Records	This series documents the participation of children and youth in programs sponsored by the institution. The series may include: applications; enrollment records; progress reports and assessments; immunization records; parental consent forms; activity records; lists of attendees; and related correspondence.	AC	3			AC = Last day of enrollment in the program.		CAUTION: If litigation is involved the form(s) must be kept according to the terms of 1.1.048.	
499	17.1.006	Continuing Education Course Records	Documents course offerings and individual course contents as offered by Continuing Higher Education (also called Flexible Learning or "extension" classes).	AC	2			AC = End of the academic term in which the course was offered.		CAUTION: Some of these records may affect accreditation and should be kept long enough to meet accreditation cycle requirement. See RSIN 16.1.007 for medical continuing education records.	
712	17.1.006	Continuing Education Final Course Results	Final course result for non-credit educational activities offered by Continued Education, including Flexible Learning or extension courses not submitted to Registrar.	AC	2			AC = End of the academic term in which the course was offered.			
536	16.1.007	Continuing Medical Education (CME) and Continuing Nursing Education (CNE) Class Records	Documents the administration of and participation in Continuing Medical Education (CME) and Continuing Nursing Education (CNE) training courses or programs and may include but not be limited to: course agendas, descriptions, and syllabi; course outlines and materials; enrollment and attendance records, training requests and authorizations, certificates of completion; and related documentation and correspondence.		6					See RSIN 17.1.006 for all other continuing education records.	Accreditation Council for Continuing Medical Education (ACCME).



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735	17.1.007	Cooperative Program Records	Records documenting the institution's participation in cooperative and shared educational or research programs. Such programs may share research facilities and resources or instructional programs such as programs permitting student matriculation at member institutions. May include but not limited to: information on requirements and application procedures; committee minutes; meeting agendas; and memos of interpretation and understanding.	AC	7			AC = Termination of program or agreement.	O		
356	15.2	Course Equivalencies	Evaluation of course credit earned at other institutions for credit eligibility toward degree requirements at Texas Tech University.	US	1						
79	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.
468	17.1.009	Course Inventory Data Files — Office of Institutional Research	Documentation kept by the Office of Institutional Research which is used to track historical information on courses, their credit hours, activity type and other related information.	PM						Agency policy to retain the information permanently.	



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386	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							
359	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.	AC	5			AC = After graduation or non attendance.			
95	11.1.013	Dean of Students — Student Information Files	Records documenting student information not related to academic matters.	AC	7			AC = Graduation or withdrawal.			
360	15.2.014	Degree Audit	Student applications for graduation, degree audit forms, graduation authorizations, and diploma distribution records.	AC	1			AC = Graduation or last date of attendance.		See AIN 360 for departmental copy. Buckley Amendment, Confidential record. AACRAO guidelines.	
358	17.1.012	Degree and Special Academic Program Proposal, Development and Review Records	Records documenting planning and discussions relating to the implementation of new undergraduate, advanced degree, and special academic programs and any major reorganization or changes to established programs. May include but not limited to: final reports; curriculum committee meeting minutes; curriculum proposals; reviews of individual degree programs by campus and off-campus sources; letters of support; review agendas; and related documentation.	AC				AC = Termination of degree program.	O		



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102	15.3.002	Departmental Grants, Financial Assistance, and Stipends	Funds provided by a department to cover travel and research costs.	AC	5			AC = Date of award.					
738	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 16.1.008 for counseling records. See RSIN 3.1.042 for employee accommodation requests.			
730	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).		
384	15.4.003	Disclosures	Record of each request for access to and each disclosure of personally identifiable information from the educational records of a student under the Family Educational Rights and Privacy Act (FERPA): documentation of requests from and disclosures to any party other than the student, an official of the university for what the university has determined are legitimate educational interests, a party with or without written consent from the student, or a party seeking directory information.	AC				AC = As long as disclosed record is maintained.		See RSIN 1.1.077 for release of non-FERPA records.	34 CFR 99.32(a)(2).		
726	13.2.001	Donor Files	Includes individual donor and prospective donor files.	AC				AC = Prospect ceases to be viable.	I	CAUTION: Includes donor or prospective donor information only. For records of gifts, see RSIN 13.2.003 and 13.2.005. See RSIN 16.2.002 for Library, Archives and Museum donor files.			



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535	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.
336	15.2.010	Enrollment Census Reports (4th and 12th Class Day Rosters)	Attendance reports prepared on class census day and used as source documentation for enrollment reports submitted to the Texas Higher Education Coordinating Board (THECB).	FE	3							
557	1.1.065	Enrollment Statistics — Working Files	Annual statistical reports of enrollment, grades, graduates, racial/ethnic composition, student instructor ratios, and other education related matters submitted to the governing body, state or federal agencies, or accrediting organizations.		5					I	Retention period based on AACRAO guidelines for enrollment statistics.	
365		Enrollment Verifications	Verifications of enrollment, graduation, GPA, and other related academics.	AC				AC=Until administrative need is satisfied.			Buckley Amendment, Confidential record. However, student directory information which includes names, on campus address, D.O.B. and major is public information. Based on AACRAO guidelines.	
125	5.2	Equipment — Fiber & Biopolymer Research Institute		PM								9 CFR 2.35



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562	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.	
563	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			AC = Completion of the event.	O	See RSIN 11.1.006 for routine event administration records.	
368	15.2	Exam Make Up Request			2						
370	15.5	Excused Absence Requests			1						
739	16.5.010	External Recruiter Records	This series provides a record of recruiter visits to the campus to participate in job fairs or conduct job interviews. May include but not limited to: scheduling calendars; recruiter schedules; recruiter information forms; lists of interviewees; and feedback forms from recruiters.		2					See RSIN 1.1.019 for marketing materials. See RSIN 15.5.005 for university student recruitment.	



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139	1.1.070	Faculty Handbooks	Manual produced by the Office of the Provost outlining policy and procedures for faculty.	US	3				O		
483	15.2.011	Faculty/Instructor Grade Books	Per the TTU Faculty Handbook , grade records should be kept for at least four calendar years and are defined as “grade books, computer and non computer generated grade sheets, and other such materials that permit a reconstruction of a student’s graded performance in a course.”	AC	5			AC = Close of semester.		See RSIN 15.2.012 for official Registrar copies of grades and AIN 374 for departmental copies of grade sheets. See also AIN 475 for Student Papers, Class Examinations, and Tests Completed as Part of Course Work.	
140	11.1.015	Faculty Search Committee Records	Documentation of the faculty hiring process created and/or collected by the search committee.	AC	5			AC = Selection.		See Texas Tech OP 32.16 section 4(g) for the list of items to be retained.	
473	11.1.015	Faculty Search Committee — Health Sciences Center — Hired	Documentation of the faculty hiring process created and/or collected by the search committee.	AC	5			AC=Selection.		See Texas Tech Health Sciences Center OP 60.09 section 3(b)5(b)3 for the list of items to be retained.	
769	11.1.015	Faculty Search Committee — Health Sciences Center — Not Hired	Documentation of the faculty hiring process created and/or collected by the search committee.	AC	2			AC=Selection.		See Texas Tech Health Sciences Center OP 60.09 section 3(b)5(b)3 for the list of items to be retained.	29CFR1602.49(a)
741	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.			
141	15.2	Faculty Teaching/Workload Reports			5						



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142	12.1.001	Faculty Promotion and Tenure Files	Evaluations, recommendations, and similar documentation relating to the review process for promotion and tenure for all faculty or staff in the tenure track.	AC	5			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. Policy of TTU University Archives not to collect faculty dossiers. The archives does collect faculty vitas, press releases, news clippings, and photographs." For employment performance and appraisal records, see RRS Section 3.1.	29 CFR 1602.49
481	15.4.003	Family Educational Rights and Privacy Act (FERPA) Documents	Student information release requests and consent authorizations or denials in accordance with the Family Educational Rights and Privacy Act. Includes requests for nondisclosure of directory information; requests for release of personally identifiable information; records of disclosures made to third parties; requests for formal hearings; student statements regarding hearing panel decisions; written decisions of the hearing panel; written consent of the student to disclose records; waivers for rights of access; and related documentation and correspondence.	AC	1			AC = Life of the affected record or until student terminates waiver for written consent of the student to disclose records and waivers for rights of access.		See RSIN 11.1.010 for other permits and licenses issued by the university.	34 CFR 99.32(a)(2).
362	15.2.014	Final Degree Audits	Documents applied courses fulfilling degree programs and all other degree requirement completion.	PM						Buckley Amendment, Confidential record. CAUTION: This version applies to the Registrar's Office. See AIN 360 for departmental copy.	



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217	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).
727	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).
728	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).



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462	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 15.2.033 for veteran affairs records. See RSIN 15.3.010 for veterans' assistance programs. Buckley Amendment, Confidential record.	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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461	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), 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 15.3.018 for Health Profession and Nursing Student Loan program payments.	34 CFR 668.24(e), 34 CFR 674.19(e)(3), 34 CFR 682.610(a)(2).



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767	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).
742	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).
574	18.2	Game Arrangement Records	This series is used to provide a reference record of arrangements made for and the schedules of past games. This series may include but is not limited to: team practice schedules; team position assignments/depth charts; itineraries; bus lists; notes; and related documentation and correspondence.	AC	5			AC = End of sport season.			
575	18.2.005	Game Day Totals	This series documents the total ticket sales and concessions, including concession items other than food or drink and NCAA licensed merchandise, for each sporting event.		6					See RSIN 18.2.014 for individual athlete files.	



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576	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						
577	18.2	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 University Archives.	
578	18.2.005	Game Tickets and Ticket Orders	This series documents the sale and purchase of season passes and game day tickets. Records include but are not limited to: extra game tickets, ticket orders, season pass order forms, and ticket stubs.	FE	3						



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374		Grade Changes — Departmental Copy	Documents grade changes submitted by instructors through the academic departments to the Registrar.	AC	2			AC = End of semester.		See RSIN 15.2.011 for faculty/instructor grade book copies and AIN 374 for copies of departmental grade sheets. Buckley Amendment, Confidential record. Retention period based on AACRAO guidelines.	
504	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.		See AIN 362 for Registrar's copy.	
377	15.2	Graduation Status and Ranking — Registrar's Office		PM						Departmental copy keep as long as administratively valuable. Buckley Amendment, Confidential record. Retention period based on AACRAO guidelines.	
501	15.5.008	Grievance/Complaint by Student	Pertains to discriminatory harassment related issues. Does not pertain to grade or FERPA disputes.	AC	7			AC = Closure of grievance. Based on AACRAO guidelines.		CAUTION: If a grievance brought forward by students against the institution becomes part of litigation, it should be retained as a litigation record per RSIN 1.1.048. If the grievance goes to the university ombudsman, the record should be retained as an ombudsman record per RSIN 3.1.039. CAUTION: For Title IX complaints, see RSIN 15.5.010.	
532	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 15.2.033 for Veterans Affairs Records.	40 TAC 461.130.



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731	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.).		10					See RSIN 16.1.009 for disclosures of protected health information (PHI).	
455	16.1	Health Sciences Center: Master Patient Index		PM							Texas Department of State Health Services Retention Schedule for Medical Records AIN 10971.
211	16.1	Health Sciences Center: Medical Financial Records related to services — Charge, Payment, Refund Batch Documents, Explanation of Benefits (EOBs)		AC	7			AC = Date of service or until all audit questions, appeal hearings, investigations or court cases are resolved.			22 TAC 165.1(b)
215	16.1.025	Health Sciences Center: Medical — Patient Files/Medical Records	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	10			AC = Clinical: Last date of service or the patient's 21st birthday, whichever is later; Research: Research purposes/goals fulfilled/contract period ends, whichever is later.		Any litigation must be concluded before final disposition. Texas Medical Board minimum is 7 years from the last date of service or the patient's 21st birthday, whichever is later.	22 TAC 165.1(b); Medicaid Managed Care is 10 years (42 CFR 422.504(d)(2))



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454	16.1	Health Sciences Center: Medical Records — Hansen's Disease		PM						Records are of research significance and must be maintained permanently. Texas Department of State Health Services Retention Schedule for Medical Records.	
490	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.			
163	16.4	Housing — Lodging Requests			1						
378	16.4.005	Housing Records	Includes housing requests, signed housing policies/contracts, driver's license forms, reservation/housing agreements, deposit receipts, rent delinquent notices, vacating notices, student incident reports, and related documentation and correspondence.	AC	7			AC = End of student's occupancy.		See RSIN 5.1.001a/b for housing contracts.	
165	1.1	Human Sciences — Volunteer Registration Forms		AC	3			AC = Date of cessation of activity for which the waiver was signed.		See RSIN 1.1.078 for other waivers of liability.	
166	3.1	Human Sciences — Volunteer Station Memoranda of Understanding (contracts)		AC	7			AC = Termination of employment [contract].			
167	1.1	Human Sciences — Volunteer and Volunteer Stations Information (database)		AV							



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380	16.4	ID System [University]	Includes name, ID number, meal plan, Tech Express plans, classification, address, access privileges both building and student access to facilities such as rec., student health, ethnicity, gender, etc.	AC	4			AC=Until superseded or expired.		CAUTION: For records documenting the issuance of keys, identification cards, or similar instruments of access to university facilities, refer to AIN 322.	
379	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.		Buckley Amendment, Confidential record. See RSIN 5.4.012 for records documenting the issuance of keys, identification cards, or similar instruments of access to university facilities.	
709	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 1.1.067 for immunization reports required by the Texas Education Code and the Texas Health and Safety Code.	
579	18.2.014	Individual Athletes Records — Confidential	Confidential records of the 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. academic major information, including performance reports; admissions verification reports; academic transcripts; financial aid information; recruitment information documents; medical and injury reports; media articles; photographs; release of information forms; personal data questionnaires; and records of awards.	AC	5			AC = Date of separation from the institution.	O	ARCHIVES NOTE: Only public profile records are subject to archival review. Confidential information should be removed or redacted upon archival transfer.	



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580	18.2.014	Individual Athletes Records — Public Profile	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. 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.	PM						O	See AIN 579 for confidential athlete records.	
153	13.2.003	Institutional Advancement — Gift Receipts	Documentation of gifts and donations given to the agency.	FE	7					O	Digital file is the Master.	
478	13.2.003	Institutional Advancement — Gift Transmittals and Database 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.	PM						O	Digital file is the Master and the hardcopy file will be managed by internal policy.	
476	13.2.005	Institutional Advancement — Institutional Endowment Fund Records	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	Digital file is the Master and the hardcopy file will be managed by internal policy.	



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477	13.2.003	Institutional Advancement — Non-Endowed Institutional Fund Records		AC	4			AC = After close of the fund and all contracts, grants and pledges have been settled, then the file will go inactive for 4 years before departmental review.		Digital file is the Master and the hardcopy file will be managed by internal policy.	
474	13.2	Institutional Advancement — Planned Giving Commitments		AC				AC = Maintain the document files until the deferred gift value is realized and the proceeds transferred to an Endowed or Non-endowed fund.		Digital file is the Master and the hardcopy file will be managed by internal policy.	
720	17.3.004	Institutional Biosafety Committee	Meeting minutes and reports of the Biosafety Committee.		3						42 CFR 73.17(c).
458	1.1.067	Institutional Research — Student Retention & Graduation Reports and Information	Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.		3				O	See RSIN 1.1.067 for non-fiscal reports and studies. See RSIN. 1.1.065. for raw data related to the procedure.	



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710	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, list of awardees and final research reports.	PM					O		21 CFR 56.115(b), 42 CFR 73.17(c).
711	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).



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690	12.1.002	International Scholars Record — 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).
691	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.
692	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.
693	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.
694	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).



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381	12.2	International Student Records	Records dealing with F-1 students and the J student and scholar program, including passport, I-20 and documents of financial responsibility.	AC	3			AC = Completion of the immigration program and/or from the date of the denial if the reinstatement is denied.			8 CFR 214.3(g)(1) and (2) and CFR 62.10(h).
565	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 15.2.022 for other internship program records.	
486	15.2.022	Internship Program Records	Administration of student internship, practicum, and cooperative education programs. May include but not limited to: applications for internships inside and external to the institution; agreements with departments; postings/notices; student resumes; and proposed institution listings.	AC	5			AC = End of academic term in which internship occurred.		CAUTION: See AIN 434 for reimbursable student expenses. See RSIN 15.2.021 for other internship program records.	
520	1.1.078	Intramural and Sport Club Waivers	Documents the legally and medically informed status of students, faculty, and staff participating in intramural sports activities. This form affirms that participants have been informed that they are not covered by the institution for injury or other medical situations and have been advised to seek private insurance.	AC	3			AC = Conclusion of the intramural sports season.			
180	15.5	Junction Campus — Public Education Information Management System (PEIMS Forms)	Statistical report that may include data such as number of students that attended, race, socioeconomic status.		5						Local Retention Schedule for Records of Public School Districts item SD3600 01.
753	16.5	K-12 Program — Attendance Reports	Copies of attendance and enrollment reports submitted to the Texas Education Agency, including those term and period reports.	FE	5						
747	16.5.009	K-12 Program — Birth Date Documentation	Copies of birth certificates, passport, immigration, or other records used to establish a date of birth.	AC	5			AC = Date of withdraw.		Enrolled full-time students.	



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646	16.5	K-12 Program — Custody Documents	Copies of court instruments relation to adoption, guardianship, or custody.	AC				AC = Student is 18 years old; or AV when a court order is superseded by a subsequent order (e.g., a change in guardianship).			
758	16.5	K-12 Program — Data Verification Reports	Data printouts or reports from the Texas Education Agency (TEA) or other agencies provided for informational purposes showing data received and entered in TEA databases.	AC				AC = Until TEA databases are confirmed to have correct data and for as long as needed afterwards.			
746	16.5.009	K-12 Program — Enrollment or Registration Forms		AC	5			AC = Date of withdraw.			
754	16.5	K-12 Program — Grade Books		AC	1			AC = Entry of grades in the academic achievement or cumulative record.			
749	16.5.009	K-12 Program — Immunization Records		AC	3			AC = Date of withdrawal.		See 16.1.018 for students not K-12.	
759	16.5.009	K-12 Program — Permanent Student Records	Academic achievement record or its equivalent used to record academic achievement in grades 9-12.	PM							19 TAC 74.5.
757	16.5	K-12 Program — Public Education Information Management Systems (PEIMS) Data Submissions		FE	5						
756	15.4.003	K-12 Program — Records of Access to Information	Record of each request for access to and each disclosure of personally identifiable information from the educational records of a student.	AC				AC = As long as the disclosed record is retained.			Family Educational Rights and Privacy Act (FERPA) 34 CFR 99.32(a)(2).



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744	16.5.000	K-12 Program — State Testing Security Records	Records relating to the security of assessment instruments. Must include signed security oaths, seating charts, bathroom logs, testing rosters (if applicable), secure storage form, inventory and shipping records (including Materials Control Forms, campus packing lists, and documents used to track the transfer of secure materials within and outside the district), and incident reports.		5					Required by Texas Education Agency (TEA) Test Security Supplement.	19 TAC 101.3031(d).
745	16.5.009	K-12 Program — Student Records	Documents and tracks the application, selection, and progress in targeted instructional programs of elementary through high school and non-institution students.	AC	3			AC = End of student participation in program.			
752	16.5.009	K-12 Program — Student Services Education Program Records		AC	5			AC = Cessation of services.			
750	16.5.009	K-12 Program — Student Services Records Bilingual or Language Services		AC	5			AC = Cessation of services.			
751	16.5.009	K-12 Program — Student Services Records – Section 504	Records of each student referred to or receiving services under Section 504.	AC	5			AC = Cessation of services.			
748	16.5	K-12 Program — Student Withdrawal/Record Transfer Form			1						
755	16.5	K-12 Program — Tests and Academic Measurement Reports	Reports of results of TAAS, TEAMS, TABS, TAKS, STAAR, and other standardized state and national achievement, mental abilities, and aptitude tests reported by score, percentile rank, etc.	AC	1			AC = Grade recorded on the academic achievement or cumulative record.		CAUTION: If the grade is not so recorded the results must be retained PERMANENTLY for grades 9-12 and until the date of withdrawal + 5 years for all other grades.	
178	5.4.012	Key Requests		AC	3			AC = After keys are returned or locks changed.			



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181	18.1	KTTZ TV Digital Transition (DT) Files		AC	10			AC = Life of grant.			
186	16.3.007	KTTZ TV Emergency Alert System Logs			3						
184	18.1.004	KTTZ TV Public Inspection Files	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).
185	18.1	KTTZ TV Record and Dub Requests		CE							
182	5.2	KTTZ TV Tower Analysis/Maintenance		LA							
183	16.3.001	KTTZ TV Transmitter Logs	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.		3						47 CFR 90.447.
521	16.1	Laboratory Inspection Records — Equipment Checklists and Laboratory Conditions Records			3						42 CFR 493.1105 for Laboratory Records.
193	1.1	Letters of Reference / Recommendations	Miscellaneous letters pertaining to TTU activities unrelated to tenure or enrollment.		1					CAUTION: See AIN 142 for faculty tenure documents and AIN 249 for tenure track performance appraisals; See AIN 247 for staff and non-tenure track performance appraisals; AIN 248 for teaching assistant performance appraisals; and AINs 343, 344 and 345 for student enrollment applications.	
194	1.1.078	Liability Release Forms/Records	Waivers of liability signed by students and staff of the university.	AC	4			AC = Expiration of activity.		CAUTION: If litigation is involved the form(s) must be kept according to the terms of 1.1.048.	



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524	16.1.024	Medical — Patient 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						
732	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				AC = 7 years after termination of services with client, or until client reaches 21 years of age, whichever greater.		<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 18.2.005.</p> <p>See RSIN 16.1.008 for mental health, counseling, and psychotherapy records.</p> <p>See RSIN 16.1.025 for hospital records.</p> <p>See RSIN 16.1.034 for psychotherapy notes.</p> <p>See RSIN 16.1.038 for medical source data.</p>	22 TAC 165.1(b).



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537	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).	
355	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				AC = 7 years after termination of services with client, or 5 years after client reaches age of majority, whichever greater.		CAUTION: Follow professional licensing board rules if they require longer retention. CAUTION: Student athlete medical records may have additional requirements per NCAA rules. See RSIN 18.2.005. See RSIN 16.1.025 or 16.1.026 for medical records.	
218	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).



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697	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 .	
382	15.2.002	Military Training, Credit for		AC	3			AC = Graduation or date of last attendance.		Buckley Amendment, Confidential record.	
703	15.2.035	Non-Academic Withdrawal Records	Requests and authorizations for a student to withdraw from classes for non-academic reasons.	PM						Departmental copy keep as long as administratively valuable.	
522	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: Science and Mathematics Investigative Learning Experiences (SMILE) and High School Equivalency Program (HSEP).	AC	3			AC = End of program session or student separation from program, as applicable.		See RSIN 16.5.003 for child and youth program staff records.	



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696	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.	
226		Northwest Texas Small Business Development Center — Client Files		AC	3			AC = Final submission of the report/invoice on the grant.		Office of origin is responsible for arranging storage.	
459	1.1	Office of Institutional Research — Integrated Postsecondary Education Data System (IPEDS)	Reports submitted to IPEDS.		20					Agency policy to retain 20 years.	
707	1.1.038	Office of Institutional Research — Questionnaires and Surveys	Reports, studies, aggregated or summary data documenting annual, sub-annual, or special reports of an agency's programs and other education related matters provided to internal areas and departments or external organizations.	AC	3			AC = Final disposition of summary report.			
376	15.2.012	Original Grade Sheets and Grade Changes — Registrar's Office	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						See RSIN 15.2.011 for faculty/instructor grade book copies. See AIN 374 for departmental copies of grade sheets.	



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

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229	3.1.039	Ombudsperson Records	Consultation records, notes, letters, memos, emails, reports and other documentation.	AC				AC = Final decision or matter closed.		CAUTION: Does not include formal complaint filed with EEOC (Equal Employment Opportunity Commission). If matter becomes a grievance or the subject of counseling or litigation, or employee is subject to disciplinary action, the records are subject to retention in the appropriate records series. SEE RSIN 1.1.048, 3.1.006, 3.1.018, 3.1.020, and 3.1.021.	
234	1.1.057	Organizational Memberships – Non-Texas Tech	May include newsletters, magazines, correspondence, annual conference packets, and payment receipts documenting an individual or department/college’s membership in a community or professional organization not related to Texas Tech University.	AC				AC = Purpose of record has been fulfilled.		See RSIN 4.1.001 for Accounts Payable information. See RSIN 3.3.023 for Reimbursable Activity Records.	
235	11.1.006	Oriental Material	Printed materials such as brochures, handouts, event schedules, and task lists providing guidance and/or instruction for students, staff, and faculty to university programs and processes.	US	1					Office of origin retains record copy.	
237	16.5.009	Outreach and Distance Education [IDEAL Program] – Enrollment Records Non-Credit Programs for K-12 Children		AC	3			AC = End of program session or student separation from program, as applicable.		See RSIN 16.5.003 for child and youth program staff records.	
238	16.5.009	Outreach and Distance Education [IDEAL Program] – Marketing Record Book		AC	3			AC = End of program session or student separation from program, as applicable.			



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239	16.5.009	Outreach and Distance Education [IDEAL Program] – Scholarships for K-12 Non-Credit Activities		AC	3			AC = End of program session or student separation from program, as applicable.			
523	16.3.039	Parking Citation Records	Citations issued to regular on-campus parking, including petitions to appeal citations.	AC	6			AC = Payment of ticket or resolution of appeal, whichever applicable.		See RSIN 4.1.009 for payment of fines.	
385	15.2.007	Pass/Fail Records		AC	1			AC = Graduation or withdrawal.		Buckley Amendment, Confidential record.	
625	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 5.6.009 for parking permits. See RSIN 16.4.001 for alcoholic beverage control records.	
695	15.2.023	Personal Data and Name Change Records — Departmental Copy	Student or applicant name changes, change of address forms, race/ethnicity questionnaires, and similar source documentation used to update personal data information on departmental internal student records.	AV						Buckley Amendment, Confidential record. See AIN 383 for Registrar's Copy.	
383	15.2.023	Personal Data and Name Change Records — Registrar's Copy	Student or applicant name changes, change of address forms, race/ethnicity questionnaires, and similar source documentation used to update official personal data information on transcripts or other student records.	PM						Buckley Amendment, Confidential record.	
525	16.1.031 a	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 17.3.018 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).



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736	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 16.1.007 for Continuing Medical Education records. See RSIN 16.1.036 for formative resident evaluations.	
737	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 16.1.037 for final summative evaluations.	
581	18.2.016	Play Books	Strategies and game plays for each game in the season.		5						
582	18.2.005	Practice Schedule Records	This series is used to monitor practice time for athletic teams and assist in complying with NCAA, NAIA and conference rules and regulations. This series contains team rosters indicating time spent in: practices; meetings; training and conditioning; and competition.		6						
465	15.3.005	Primary Care Loan Program	Health profession and nursing student loan programs.	AC	5			AC = Date of retirement of loan.			42 CFR 57.215(c) and 42 CFR 57.315(a)(3)
279	18.1	Professional Organizations — Non Texas Tech	Includes handouts, newsletters, brochures, meeting programs and agendas, subscriptions, membership information, etc.	AV						CAUTION: These materials are disposable when no longer needed and should not be sent to the University Archives.	
280	18.1	Professional Organization — Texas Tech	Includes handouts, newsletters, brochures, meeting programs and agendas, subscriptions, membership information, etc.	AV					O		
281	17.3	Project Information and Data Generated — Fiber & Biopolymer Research Institute		AC	7			AC = Project completion.			



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743	15.4.004	Protest of Record Statements — Registrar's Copy	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).
724	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 exclude 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 16.1.008 for counseling records.	45 CFR 164.501.
721	5.4	Radioactive Materials License	Records relating to the use, receipt, storage, transfer, or disposal of that source of radiation, including appropriate records that show the radiation exposure of each individual for whom personnel monitoring is required by the agency's rules, licenses, registrations, and orders.	PM							Texas Health and Safety Code 401.507
729	15.4.005	Record Amendment Requests — Registrar's Copy	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					Departmental copy keep 2 years.	



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391	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.	
583	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.			
528	15.2	Registration Audit Records (SFRSTCA Table)		AC	3			AC = Graduation or date of last attendance.		Buckley Amendment, Confidential record.	
529	15.2	Registration Records (SFRSTCR Table)		PM						Has Extender Documentation. Buckley Amendment, Confidential record.	
300	4.1	Refunds and Repayments		FE	5					Pell Grant Federal Regulations and other campus based programs.	34 CFR 676.19. See also 34 CFR 668.24€ for additional retention information.



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393	15.1.007	Residency Affidavits and Documentation	Documents declarations filed by students regarding state residency status which is critical for determining tuition status. Records may include but are not limited to: affidavits; correspondence regarding residency; and related documentation.	AC	3			AC = Graduation, or date of last attendance.		CAUTION: Not for residency classification forms submitted by applicants as part of the admissions process. See AIN 343.	Texas Education Code §54.052.
619	11.1.014	Recordings, Audiovisual — Texas Tech	Recordings produced or acquired by university staff that document university activities. Includes musical and theatrical performances; broadcasts; presentations; speeches; ceremonies such as dedications, groundbreakings, and awards; student events such as Homecoming; and recruitment.	AV					O	See RSIN 1.1.059 for Closed Meetings and RSIN 1.1.060 for Open Meetings.	
713	1.1	Recordings, Audiovisual — Non-Texas Tech		AV							
394	15.3.007	Scholarship Applications (Rejected)	Denied applications for financial aid.	AC	1			AC = End of academic period for which aid denied.		Buckley Amendment, Confidential record.	
487	11.1.003	Scholarship Administrative Records — Departmental	Records documenting the administration, rules, and history of awards, fellowships, and scholarships based on merit or achievement. May include but not limited to: eligibility terms and selection criteria; award history and information on funding sources; award notifications; summary lists of winners, and biographies of winners.	AC				AC = Termination of award.	O	ARCHIVES NOTE: Only institutional awards merit archival review. Department-level awards do not need to be reviewed for archival value. See RSIN 1.1.019 for press releases. See RSIN 11.1.004 for award selection committee records.	
397	15.1.001	Scores and Reports (External), Admissions		AC	5			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. Buckley Amendment, Confidential record.	8 CFR 214.3(g).



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584	18.2.019	Sports Merchandising Records	This series documents the sale of institutional and NCAA or NAIA licensed merchandise at sporting events. Records may include: sales reports; merchandise comment sheets; and related correspondence.	FE	3					See RSIN 4.1.009 for accounts receivable records.	
399	15.3	Stipend Acceptance Forms			10						
484	4.1.009	Student Accounts Receivable Records by Transaction	Records evidencing the transactional detail of the Student Financial Account including, but not limited to, charges, payments, exemptions, waivers, contracts and refunds.	AC	7			AC = After graduation or non-attendance.			
342	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 = Graduation or date of last attendance.		See RSIN 18.2.005 for student athlete reporting requirements.	
335	15.3	Student Affairs — Student Services Fees Request	GFD and OEC documents that are effectively the Board and President approval documents for all Tuition and Fees.	FE	3						
572	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						
573	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.			



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585	16.1	Student Athlete Insurance Records — Collegiate Insurance	This series documents medical treatment services rendered off campus for practice or playing related injuries or illnesses which are eligible for partial payment by intercollegiate athletic insurance. This series may include but is not limited to: copies of policies; accident reports; annual insurance questionnaires; notes; claim forms; negotiations correspondence; payment of insurance records; and related documentation and correspondence.	AC	7			AC = Last date on which service was given or until the patient's 21st birthday, whichever later.			
586	16.1	Student Athlete Insurance Records — Secondary Coverage Insurance	This series documents the verification and payment of secondary coverage insurance claims of injured student athletes. This series may include but is not limited to: lists of requests for claims payment; transmittal letters for reimbursement of the institution; proof of loss forms; intercollegiate athletic reports; ledgers of providers, payment amounts, and reference numbers; and related documentation and correspondence.	AC	7			AC = Claim settled.			



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587	15.2.026	Student Athletes Academic Advising Records	This series documents academic advising of prospective and current student athletes, provides records of academic progress while students are involved in athletic programs at the institution, and complies with NCAA, NAIA and conference reporting requirements. These records include: letters of intent; renewals of letters of intent; transcripts; grade reports; petitions; academic evaluations; advanced standing reports; advisors' report sheets showing progress towards academic degree; program planning sheets; NCAA Progress Reports; students' requests for release from athletic programs; disciplinary memoranda; and related correspondence.	AC	5			AC = Degree completed or date of last enrollment.		See RSIN 18.2.005 for student athlete reporting requirements.	
588	18.2.005	Student Athletes Medical Records	This series documents the medical history of each athlete before and during his/her attendance at the institution. This series may include but is not limited to: annual health appraisals; authorization to release information forms; treatment consent forms; assumption of risk forms; accident reports; X rays and X ray reports; prescription records; off campus treatment source records; insurance questionnaires; psychological counseling records; and related documentation and correspondence.	AC	7			AC = Last date on which service was given or until the patient's 21st birthday, whichever later.			22 TAC 165.1(b).



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488	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).	
479	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.	
363	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.		Buckley Amendment, Confidential record. CAUTION: For Title IX complaints, see RSIN 15.5.010	



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475	15.2.013	Student Coursework and Grade Reports	Student coursework (e.g., examinations, quizzes, homework assignments, course papers, term papers, and essay assignments) in custody of institution that is needed as supporting documentation for grade books and grade report cards distributed to students.	AC	1			AC= Course completion.		CAUTION: Coursework under dispute may not be destroyed until the resolution of the dispute. See RSIN 15.2.009 for graduate student qualifying examinations. RSIN 15.2.011 for grade books. RSIN 15.2.030 for theses and dissertations.	
708	17.1.018	Student Evaluation of Course Instructor — 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	6			AC = After course is completed.		See RSIN 3.1.019 for employee performance appraisals.	



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366	17.1.019	Student Evaluation of Course Instructor — 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						Texas Tech University Operating Policy 32.32 paragraph 3(c). See RSIN 3.1.019 for employee performance appraisals.	
764	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.				
596	16.3	Student Housing Emergency Contact Information	Information provided by students residing in university student housing who opt to designate emergency contacts.	FE	7						20 USC 1092(f) and 34 CFR 668.46(h)	



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400	18.1.003	Student Organizations 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.	AC	7			AC = Date of last activity.	O	CAUTION: Faculty sponsors of student organizations should remind students that many of the electronic records they create for the organization are records that must be retained and then transferred to the University Archives, and that students must take care to retain these records in whatever manner the University decides is best.	
482	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).
401	15.2	Student Teaching	Internships required to complete certification and/or degree program requirements.	AC	10			AC = Completion of teaching.			
392	1.1.067	Students — Reports	Reports generated by departments that do not fall in other categories such as admissions, grades, financial aid, etc.		5					Buckley Amendment may apply depending on the contents of the report.	
398	15.5	Students — Statistics	Historical information gathered on the student makeup of the university, including degrees given and racial/ethnic information.	PM					O		



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608	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		
225	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.		2				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.)	
425	17.1	Textbook Adoption Records			3						



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489	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	Permanent hard copies before 2005 reside with the University Archives. After 2005, the official copy becomes the electronic version maintained by the Texas Tech University Libraries.	
610	15.2	Thesis and Dissertation Records — Working Files	Working files and related documentation uploaded to the Library's official Electronic Theses and Dissertation (ETD) portal during the process of creating the final and approved version of the graduate publication.	AC	7			AC = Date of electronic submission.		See AIN 489 for final draft of Theses and Dissertation.	
541	18.2.005	Ticket Sales and Event Cash Reconciliation Records — Athletics	Documents the printing, selling, distribution, and accounting of tickets for university sponsored athletic events where tickets are sold for admission.		6					CAUTION: Records should be kept in compliance with NCAA or NAIA requirements, as applicable.	
540	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.	
716	15.5.010	Title IX Referrals	Title IX referrals, formal complaints, supportive measures, investigations, determination of responsibility, informal resolutions and appeals.	AC	7			AC = Final resolution of referral.			34 CFR 106.45(b)(10).
404	15.2	Transcript Requests	Requests for institutional transcripts and to whom the record will be released.	PM						Buckley Amendment, Confidential record.	



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405	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) for institutions other than TTU for which the student provided for transfer or other record consideration.	PM							
406	15.2	Transcripts of Applicants Who Did Not Attend and/or Get Accepted		AC	1			AC = Date received.		Buckley Amendment, Confidential record.	
485	15.3.027	Tuition Exemption Records	Applications for and supporting documentation evidencing the grant of tuition exemptions or remissions.	AC	3			AC = End of award year.		See RSIN 15.2.017 for Hazlewood Act records.	
512	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.
539	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.	



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607	16.4.004	University Judicial Records	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 15.5.007 for incidents that result in disciplinary action. See RSIN 16.3.027 for incidents referred to law enforcement.	
616	4.5.007	USAS Reports – Daily/Monthly	Periodic reports compiled from information entered into the Uniform Statewide Accounting System (USAS).	AC				AC = Receipt and reconciliation of annual report.			
615	4.5.009	USAS Reports – Annual	Yearly report compiled from information entered into the Uniform Statewide Accounting System (USAS).	FE	3						
407	15.2.033	Veterans Affairs Records	Certification of Enrollment reports required by the U.S. Department of Veterans Affairs (VA) and individual veteran student records that certify to the VA that the student is eligible for educational benefits, is currently enrolled at the institution in a qualifying curriculum and is maintaining standards required to receive entitlements.	AC	3			AC = Graduation, date of last attendance, or end of certification period, as applicable.		See RSIN 15.2.017 for Hazlewood Act documentation.	38 CFR 21.4209(f), US Department of Veterans Affairs School Certifying Official Handbook.
765	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.			
408	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.			
409	15.2.007	Withdrawal Authorizations — Registrar's Copy	Requests and authorizations for a student to withdraw from the university.	PM						Departmental copy keep as long as administratively valuable.	Local schedule Item JC3725 12.



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505	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.
689	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 and quantity dispensed, patients receiving drugs, and total balance on hand of scheduled drugs.		5					See RSIN 16.1.031a/b for health clinic or hospital pharmacy records.	22 TAC 573.50.
688	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). *PHS IV.E.2
315		Institutional Review Board (IRB) Records — Human Subjects	Records for research involving human subjects. May include protocol applications, research protocols, consent documents, recruitment, materials, investigator brochures, and all other, documents submitted for review of proposed human subject research.	AC	3			AC = Completion of project + 20 years.		Agency policy to retain longer.	45 CFR 46.115(b).



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698	17.3.008	Intellectual Property Agreements	Includes license agreements, know-how agreements, and other contractual agreements resulting from the licensing of technology or the transfer of intellectual property.	AC	7			AC = Completion of all terms and extensions of the agreement.	O	CAUTION: Does not include patent records. See RSIN 17.3.011.	NIH Guidelines, OMB Circular A: 110-.53, 2 CFR 200.334.
244	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		
699	17.3.010	Patent and Invention Records — Denied or Not Pursued	Records relating to disclosures or applications for patents that are either not filed or otherwise pursued by the university, or which are denied by the US Patent and Trademark Office (USPTO).	AC	7			AC = Date of last office action or related correspondence in file.	O	NOTE: Patent applications remain confidential unless published by the US Patent and Trademark Office or an international patent office.	
556	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.			



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312	17.3	Research Applications		AC	5			AC = Date of notification.			
313	17.3	Research Data — Final		PM						Confidential until published.	
762	17.3.013	Research Data — Funded Projects	Final and interim research reports, working files, research data, protocols, laboratory notebooks, documentation, and any specimens produced for a granting agency or sponsor for funded research, studies, clinical trials, and non-clinical trials.	AC	7			AC = Expiration or termination of the grant or sponsorship agreement, or close of study, whichever applicable.	O	CAUTION: Research grants may have individual guidelines for retention. Records must be retained in accordance with guidelines of grant or contract. ARCHIVES NOTE: Working files used in creating the final research report are not subject to archival review and may be disposed of at the expiration of the retention period.	NIH Guidelines, OMB Circular A: 110-.53, 2 CFR 200.334, 21 CFR 58.195(b), 40 CFR 160.195(b), 42 CFR 73.17(c).
761	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 17.3.013 for research data related to grant-funded or sponsored research.	
314	17.3	Research Data — Raw		AC	3			AC = Completion of project.			
316	17.3	Research Specimens — Non Animal Research/Laboratory Records		AC	3			AC = Completion of project.			
763	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).
664	16.3	Accident Reports — Original	Original records relating to traffic accidents, including accident reports, supplemental accident reports, photographs, correspondence, and related documentation.	AC				AC = Send to the Texas Department of Transportation.		From local schedule, PS4150-01a.	By law - Transportation Code §550.062.



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681	16.3	Accident Reports — Copies	1) Accident reports in which no arrest is made. 2) Accident reports in which an arrest is made.	AV						From local schedule, PS4150-01b. An copy of an accident report involving an arrest must be retained for the appropriate retention period under item number PS4125-05(b).	



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259	16.3.002	Arrest Records	Arrest records for 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>Retention Note: If the arrest report lacks any information listed in Code of Criminal Procedure §60.051(a)(1)-(3) and (b)(1), (3)-(8), documents from PS4125-05 sufficient to provide the missing information must be kept for as long as the retention period of this series.</p> <p>If the person arrested is a juvenile, the law enforcement agency should use item numbers PS4225-06, PS4225-08, or PS4225-10.</p> <p>See RSIN 16.3.036 for Class C misdemeanors or other violations punishable by fine only.</p>	Code of Criminal Procedure, 66.102.; PS4125-02; PS4225-06.



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591	16.3.005	Campus Fire Log and Fire Statistics (Clery Act)	A written, easily understood fire log that records the nature of the fire, date the fire was reported, date and time of the fire, and general location occurring in on campus student housing facilities. Fire statistics, and all documentation related to the total number of fires, the number of persons who received fire-related injuries, the number of deaths related to the fire, and the amount of property damage caused by fire for each on-campus student housing facility.		7						34 CFR 668.49(c)(1)
733	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		
734	16.3.027	Campus Security and Incident Reports	Reports concerning suspicious incidents, complaints, and dating and domestic violence that, after investigation, did not appear to have involved the commission of a crime or do not become a part of arrest or offense investigation records.		3					CAUTION: See RSIN 16.3.011 for reporting of all incidents required by the Clery Act.	
670	16.3.009	Child Abuse Reports	Copies of child abuse reports received pursuant to Family Code, Sections 261.103 and 261.105, which do not become part of arrest and offense investigation records.		3						
590	16.3	Clery Act Reporting — Annual Security Report / Annual Security and Fire Safety Report	Annual report, due not later than October 1 of each year, reflecting the institution's current policies, procedures and crime statistics. For those institutions with on-campus housing, the report also contains fire safety policies, procedures and statistics.		7				O	Includes 16.3.004 Annual Safety Report.	20 USC 1092(f), 34 CFR 668.46



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589	16.3.011	Clery Act Reporting – Campus Crime Statistics and Referrals	All supporting records used in compiling statistics for each Clery annual security report, including but not limited to, copies of crime reports; the daily crime logs; records for arrests and referrals for disciplinary action; and audit trail detailing reports counted for the specific year. Statistics includes the crimes of criminal homicide; sex offenses; robbery; aggravated assault; burglary; motor vehicle theft; arson; and arrests for liquor, drug, and weapon law violations; hate crimes; and referrals for liquor, drug, and weapon law violations. Includes crimes occurring on campus, including student housing facilities, in or on non campus buildings or property, and on public property as defined by 34 CFR, Section 668.46(a).		7						20 USC 1092(f), 34 CFR 668.46 (The Clery Act)
592	16.3.007	Clery Act Reporting – Campus Notifications	Documentation including, but not limited to policies and procedures for assessing and issuing timely warning and emergency notifications, copies of sent notifications, reports, and assessments.		7				O		
685	16.3	Clery Act Reporting – Daily Crime Log	Daily crime log which includes the nature, date, time, general location of each crime reported to campus law enforcement that occurs within the institution’s Clery Geography, and the disposition of the complaint (if known) as required by the Clery Act.		7					Clery Compliance Officer will gather, retain and determine retention after the seven year(s) in which all RAW documentation was held by TTPD.	20 USC 1092(f), 34 CFR 668.46.



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594	16.3.013	Clery Act Reporting — Emergency Response and Evacuation Procedures	Policies and procedures intended to ensure the institution has sufficiently prepared for an emergency situation on campus, including testing these procedures to identify and improve any weaknesses and considering how to inform the campus community and other individuals in the event of an emergency.		7				O	See RSIN 5.4.013 for Continuity of Operations Plans not part of Clery Act reporting.	20 USC 1092(f) and 34 CFR 668.46(g).
687	16.3	Clery Act Reporting — Law Enforcement Statistics — Annual Security Report	All supporting records used in compiling law enforcement statistics submitted for inclusion in the Annual Security report as required by the Clery Act, including but not limited to: copies of daily crime logs, applicable crime reports, records for arrests and referrals for disciplinary action along with audit trail detailing reports counted for the specific year.		7					Final ASR/ASF SR compiled, retained and submitted by Clery Compliance Officer. CAUTION: All university units are required to submit their Clery Act related statistics and supporting records in accordance with this series, for 7 years after publication of the Annual Campus Security and Fire Safety Report, to the institutions Clery Compliance Officer.	20 USC 1092(f), 34 CFR 668.46.
686	16.3	Clery Act Reporting — Timely Warnings & Emergency Notifications	Documentation regarding departmental policies and procedures for assessing and issuing timely warnings and emergency notifications, along with copies of all warnings and notifications sent to the campus community by law enforcement.		7					Clery Compliance Officer will gather, retain and determine retention after the seven year(s) in which all RAW documentation was held by TTPD.	20 USC 1092(f), 34 CFR 668.46.



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595	16.3	Supporting Documentation (Clery Act)	Any and all records documenting compliance with the Clery Act, supporting documentation for the ASR/ASF SR publications, crime and fire statistics campus. May include but is not limited to incident reports, logs, and statistics; campus emergency notifications and timely warnings; emergency and evacuation plans; and workpapers and correspondence required to compile the information of multiple university units that contribute to the ASR/ASF SR.		7						CAUTION: All university units are required to submit their Clery Act related records in accordance with this series, for 7 years after publication of the Clery Report, to the institutions Clery Compliance Officer.	20 USC 1092(f) and 34 CFR 668.46.
261	16.3.014	Communication Logs	Records of internal police communications, including telephone and radio logs.				30				See RSIN 16.3.018 for dispatch records.	
659	16.3	Contraband Forfeiture Fund Documentation	Records of property and proceeds that are seized and forfeited under Chapter 59, Code of Criminal Procedure, including receipts and disbursements to benefitting funds.	FE	5						From local schedule, PS2600-03.	
629	3.1.026	Criminal History Checks	Pre-employment background checks of persons with law enforcement licenses hired as law enforcement officers.	AC	6			AC = Date of separation.			Retention Note: See local schedule, GR1050-36 for all other employment related criminal history checks. From local schedule, PS4075-03.	By regulation – 37 TAC §217.7(h).



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657	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						<p>AV, but no longer than 5 years.</p> <p>From local schedule, PS4175-02a.</p> <p>Retention Note: 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).</p> <p>In determining whether information is required to be removed, the 5 year period does not include any period during which the individual who is the subject of the information is confined in a correctional facility of the Texas Department of Criminal Justice, the Juvenile Justice Department, or in a county jail or a facility operated by a juvenile board in lieu of confinement in a TDCJ or JJD facility.</p>	By law - Code of Criminal Procedure §61.06 and 67.151(b).



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658	16.3.015	Criminal Intelligence and Analysis Files	Information related to the investigation or prosecution of criminal activity engaged in by a child who has not been arrested for criminal activity reportable to the Texas Department of Criminal Justice under Code of Criminal Procedure, Chapter 60, or taken into custody for delinquent conduct reported to the department under Family Code, Chapter 58.	AV						AV, but not longer than 2 years. From local schedule, PS4175-02b. Retention Note: In determining whether information is required to be removed, the 5 year period does not include any period during which the individual who is the subject of the information is confined in a correctional facility of the Texas Department of Criminal Justice, the Juvenile Justice Department, or in a county jail or a facility operated by a juvenile board in lieu of confinement in a TDCJ or JJD facility.	By law - Code of Criminal Procedure §61.07.
655	16.3.016	Daily Bulletins	Daily bulletins providing data on officers or on-duty personnel, tasks and vehicles assigned, information concerning special procedures or information (eg., missing persons, be-on-the-lookout-for (BOLO), weather, hazardous fire conditions, and other information customary to the operations of a public safety agency.		1					Series includes local schedule, PS4025-02.	
673	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.



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609	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	Retention Note: Prior to disposal, dispatch records shall be appraised by the records management officer for historical value, and those determined by the records management officer to merit retention for historical reasons must be retained PERMANENTLY. Series includes local schedule, PS4100-05.	
630	3.1.041	Employee Acknowledgement & Agreement Forms — TTUPD	Agreements between employee and agency authorizing certain actions, including acknowledgement forms, telecommuting agreements, outside/secondary employment authorizations, off-duty assignments (approved/denied) of commissioned peace officers (CPOs), or other documentation that show proof of receipt and awareness of and adherence to agency policies and procedures.	AC	2			AC = Until superseded, obsolete, or date of separation, as applicable.				
627	3.1	Employment Eligibility Documentation — CPOs	Pre-employment background checks of persons hired to become commissioned peace officers (CPOs) with Texas Tech Police Department (TTPD).	AC	5			AC= Termination of employment.			8 CFR 274a.2(b)(2)(i)(A) and (c)(2); 37 TAC 217.7(h).	
264	16.3.023	Field Interrogation Reports	Reports on persons stopped and interrogated in the field because of suspicious behavior.	AV								



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628	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 16.3.002, 16.3.033, 16.3.035, 16.3.037, and 16.3.038. See also local schedule, PS4225-06 for Juvenile case files and PS4175-03 for other arrest records and offenses.	
669a	16.3	Fingerprints & Photographs of Juveniles	1. Fingerprints and photographs of juveniles not taken into custody, but with the written consent of a parent or guardian.	AC				AC = Until the juvenile is 18.		From local schedule, PS4225-14. Caution: Records Management Officers should ensure regular disposition of these records to comply with annual certification required by Family Code §58.002(b).	
669b	16.3	Fingerprints & Photographs of Juveniles	2. Fingerprints and photographs of juveniles not referred to a juvenile court or placed in a first offender program or on informal disposition within 10 days after the date the juvenile is taken into custody.	AC				AC = Must be destroyed immediately		From local schedule, PS4225-14. Caution: Records Management Officers should ensure regular disposition of these records to comply with annual certification required by Family Code §58.002(b).	Family Code §58.001(c).
669c	16.3	Fingerprints & Photographs of Juveniles	3. Fingerprints or photographs taken for comparison in the investigation of an offense that do not result in a positive comparison or identification.	AC				AC = Must be destroyed immediately.		From local schedule, PS4225-14. Caution: Records Management Officers should ensure regular disposition of these records to comply with annual certification required by Family Code §58.002(b).	Family Code §58.0021(e).



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669d	16.3	Fingerprints & Photographs of Juveniles	4. Fingerprints or photographs of juveniles, whose identities are not known, who are taken into custody with probable cause to believe that the juvenile has engaged in conduct indicating a need for supervision.	AC				AC = Destroy immediately upon identification of the juvenile or upon determination that the juvenile cannot be identified by the fingerprints or photograph.		From local schedule, PS4225-14. Caution: Records Management Officers should ensure regular disposition of these records to comply with annual certification required by Family Code §58.002(b).	Family Code §58.022.
645	16.3.026	GPS Tracking Records	Global Positioning System (GPS) data used to track locations of police and other state vehicles.				30			CAUTION: If the GPS data is used to establish the location of a police vehicle as part of an investigation, see investigation case file. The disposal of monitoring records that are automatically overwritten need not be documented through destruction authorizations (RSIN 1.2.001) or in records disposition logs (RSIN 1.2.010).	
663	16.3	Inactive Offense Reports	Cases not cleared.	AC				AC = Until the statute of limitations has expired.			Code of Criminal Procedure, Chapter 12.
677	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						From local schedule, PS4075-01a. Retention Notes: a) Retention periods for this record group date from the completion of the investigation.	



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678	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.		From local schedule, PS4075-01b.	
679	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.		From local schedule, PS4075-01c. CAUTION: A 1-year infraction- free period must precede the date of destruction.	
680	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.		From local schedule, PS4075-01d. CAUTION: A 1-year infraction- free period must precede the date of destruction.	
634	3.3.030	Internal Training Administration Records — CPOs	Commissioned Peace Officers (CPOs) Records documenting the planning, development, implementation, administration and evaluation of in-house training programs, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids used in in-house training programs.	AC	5			AC = Close of training session, after training materials superseded, or termination of training program, as applicable.		See RSIN 1.1.043 for external training records. See RSIN 3.1.027 for individual employee training records. CAUTION: Does not include hazardous material training records. See RSIN 5.4.007.	



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635	3.3.030	Internal Training Administration Records — Non-CPOs	Non-CPOs (Guards, Dispatchers, Staff) Records documenting the planning, development, implementation, administration and evaluation of in-house training programs, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids used in in-house training programs.	AC	2			AC = Close of training session, after training materials superseded, or termination of training program, as applicable.		See RSIN 1.1.043 for external training records. See RSIN 3.1.027 for individual employee training records. CAUTION: Does not include hazardous material training records. See RSIN 5.4.007.	
665	16.3	Juvenile Case Files	Case files in which the juvenile is made subject to informal discipline.	AC				AC = Must be destroyed upon completion of informal disposition.		From local schedule, PS4225-06a.	By law- Family Code §58.001(c).
666	16.3	Juvenile Case Files	Case files and copies of notices to parents by a law enforcement officer referring a child to a first offender program.	AC				AC = Must be destroyed after the 90th day after the date the juvenile successfully completes the first offender program. By law - Family Code §58.001(c).		From local schedule, PS4225-06b. Retention Note: If the case is referred to juvenile court per Family Code § 52.031(j), these records are transferred to PS4225-06d.	By law- Family Code §58.001(c).
667	16.3	Juvenile Case Files	Case files in which the juvenile is not referred to a juvenile court, placed in a first offender program, or made subject to informal disposition within 10 days of being taken into custody or in which the court orders destruction because of a no probable cause determination.	AC				AC = Destroy immediately.		From local schedule, PS4225-06c.	By law- Family Code §58.001(c).



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668a	16.3	Juvenile Case Files	<p>Case files for offenses in which the juvenile is referred to juvenile court:</p> <p>1. The most serious allegation adjudicated was conduct indicating a need for supervision; or the referral or information did not relate to conduct indicating a need for supervision or delinquent conduct and the juvenile court or the court's staff did not take action of the referral or information for that reason.</p>	AC				AC = Until the individual is at least 18 years of age.		From local schedule, PS4225-06d.	By law – Family Code §58.264(b)(1).
668b	16.3	Juvenile Case Files	<p>Case files for offenses in which the juvenile is referred to juvenile court:</p> <p>2. The most serious allegation adjudicated was delinquent conduct that violated a penal law of the grade of misdemeanor; or the most serious allegation was delinquent conduct that violated a penal law of the grade of misdemeanor or felony and there was not an adjudication.</p>	AC				AC = Until the individual is at least 21 years of age.		From local schedule, PS4225-06d.	By law – Family Code §58.264(b)(2).
668c	16.3	Juvenile Case Files	<p>Case files for offenses in which the juvenile is referred to juvenile court:</p> <p>3. The most serious allegation adjudicated was delinquent conduct that violated a penal law of the grade of felony.</p>	AC				AC = Until the individual is at least 31 years of age.		From local schedule, PS4225-06d.	By law – Family Code §58.264(b)(3).



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668d	16.3	Juvenile Case Files	<p>Case files for offenses in which the juvenile is referred to juvenile court:</p> <p>4. If the juvenile was tried as an adult or was adjudged delinquent based on the violation of a penal law of the grade of felony and was sentenced to the Texas Juvenile Justice Department with a transfer to the Texas Department of Criminal Justice under <u>determinate sentencing procedures</u>.</p>	AC				AC = Follow the retention periods for item number PS4125-05.		From local schedule, PS4225-06d.	
653	16.3.028	Law Enforcement Information Dissemination, Inquiry, and Receipt Records	<p>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]).</p>	AV						<p>CAUTION: Departments other than campus law enforcement see RSIN 3.1.026 for criminal history checks.</p> <p>Series includes local schedule, PS4175-05.</p>	
671	16.3.033	Missing and Unidentified Persons Files	<p>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.</p>	AC	3			AC = Date person located or body identified.		<p>Retention Note: If the location of the person or the identification of a body leads to a criminal investigation by the law enforcement agency, the records described must be retained for the same period as arrest and offense investigation records (see item numbers PS4125-02 and PS4125-05).</p> <p>Series includes from local schedule, PS4150-08.</p>	
632	16.3	Off-Duty Records	<p>Records concerning off-duty assignments of public safety personnel, including applications for such assignments.</p>		2					From local schedule, PS4075-02.	



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546	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.		7					<p>CAUTION: Agency policy to retain longer than TSLAC minimum. Records of cases not cleared must be retained until the statute of limitations has expired.</p> <p>See also PS4125-05b(2) and PS4225-06.</p> <p>CAUTION: Arrest and other law enforcement records relating to an individual are subject to expunction under Code of Criminal Procedure §§55.01- 55.05. An expunction order overrides any retention period established in this schedule.</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>	



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263	16.3.036	Offense Reports — 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.		7					CAUTION: Agency policy to retain longer than TSLAC minimum. For retention of juvenile case files, consult Family Code 58.264(b). See also PS4125-05b(1) and PS4225-06. CAUTION: Arrest and other law enforcement records relating to an individual are subject to expunction under Code of Criminal Procedure §§55.01- 55.05. An expunction order overrides any retention period established in this schedule.	



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548	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>From local schedule, PS4125-05b. See also local schedule, PS4225-06.</p> <p>CAUTION: Arrest and other law enforcement records relating to an individual are subject to expunction under Code of Criminal Procedure §§55.01- 55.05. An expunction order overrides any retention period established in this schedule.</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>	



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549	16.3.038	Offense Records — Second- and Third-Degree Felonies; Driving while intoxicated offenses	Cases cleared by the conviction or acquittal of the person arrested or cited, by the dismissal of charges against the person, or by the entry on the record of a court by a prosecuting attorney of a nolle prosequi. May include but not limited to: offense and supplemental offense reports; investigation reports and notes; witness statements; latent fingerprints; results of chemical analysis and polygraph tests; crime scene, mug shot, and other photographs; laboratory reports; citations; affidavits; criminal process; victim impact statements; and other records relating and customary to the investigation of criminal offenses or other violations of state law or local ordinance.		10					CAUTION: Records of cases not cleared must be retained until the statute of limitations has expired. From local schedule, PS4125-05b. See also local schedule, PS4225-06. CAUTION: Arrest and other law enforcement records relating to an individual are subject to expunction under Code of Criminal Procedure §§55.01- 55.05. An expunction order overrides any retention period established in this schedule. 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.	
661	16.3	On-Duty Officer Involved Incident Reports	Records related to incidents that occur on duty and require the officer to file a report, such as use of force, fleet accident, or pursuit reports.	AC	3			AC = 3 years or, if applicable, include in PS4075-01 or PS4125-01.		From local schedule, PS4150-10. Retention Note: For officer-worn camera videos showing use of deadly force by an officer, must use PS4125-04f.	



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631	3.1.022	Personnel Information or Action Forms — TTPD	<p>Forms or similar records used to create or change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment.</p> <p>Includes applications for employment hired, performance evaluations and plans, performance improvement plans, accommodation letters and awards, fleet accidents, secondary employment, employment verifications, school loan forgiveness, government assistance, prior state service, firearms qualification forms, THP-53, OIG investigation Disciplinary letters and notification letter of complaint disposition.</p>	AC	5			AC = Termination of employment.			29 CFR 1602.49(a)
598	1.1.077	Police — Release of Records Documentation	<p>Documentation of the release of records or information through any method other than a Public Information Act request or subpoena (including employment verification). More specifically records pertaining to the release of data and information regarding 20 USC, Section 1092(f) and 34 CFR, Section 668.46 (The Clery Act) to the Clery Compliance office or its predecessors.</p>	AC	7			AC = Date records released.		<p>Agency policy to retain longer than TSLAC minimum.</p> <p>See RSIN 1.1.020 for records released under the Public Information Act. See RSIN 1.1.076 for records produced for a subpoena. See RSIN 1.1.048 for records produced for litigation.</p> <p>CAUTION: Some records releases may require a longer retention period. Agencies must determine if a longer retention period is required based on any federal or state statutes or regulations that apply to the agency's functions.</p>	



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682	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.	AC	2			AC = 2 years; or 2 years after last entry if in bound volume.	O	Retention Note: Prior to disposal, activity logs or dockets that are kept in a bound volume shall be appraised by the records management officer for historical value, and those determined by the records management officer to merit retention for historical reasons must be retained PERMANENTLY. Series includes from local schedule, PS4125-01.	



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660	16.3.044	Police Audiovisual Recordings	Audiovisual recordings, including those from police vehicles, body worn cameras, or digital cameras, of persons detained for possible Driving While Intoxicated (DWI) or other violations.	AC			90	AC = Date of the stop, investigation is complete, or criminal matters have been adjudicated, whichever longer.		<p>Series includes local schedule, PS4125-04a. 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>	By law - Occupations Code §1701.655(b)(2) and §1701.660(a).



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672	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 3.1.043 for polygraphs related to employee selection. Series includes from local schedule, PS4175-08.	By regulation - 16 TAC §88.79(a).
268	16.3	Property Records	Reports, logs, property cards, receipts, notices, and similar records documenting the receipt, processing, chain of custody, and disposition by return, destruction, or sale of evidential, stolen, abandoned, unclaimed, impounded, or recovered property, including motor vehicles, by a law enforcement agency.	AC	3			AC = Fiscal End of return or disposal of property.		From local schedule, PS4175-09. Retention Notes: a) Any records in this series must be retained for FE + 5 years if they serve to document the collection of sales tax due to the State Comptroller of Public Accounts. b) Pursuant to Code of Criminal Procedure §47.04, some stolen property may be returned to its owner by court order, on the condition the property is made available for evidentiary purposes. Retain records of such property for FE of final adjudication + 3 years.	
650	16.3	Protective Orders	Emergency protective orders issued by magistrates under authority of Code of Criminal Procedure §17.292.	AC				AC = Date order expires according to its terms.		From local schedule, PS4175-16a.	By law - Code of Criminal Procedure §17.292(j).



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651	16.3	Protective Orders	Protective orders (original and modified) issued pursuant to Family Code, Chapter 85, including notices of vacation of orders.	AC				AC = Date of receipt of notice of vacation of order, or date order expires according to its terms, whichever sooner.		From local schedule, PS4175-16b. Retention Note: If the person who is the subject of the protective order is confined or imprisoned on the date the order would expire, the order is extended and expires on: 1) the 1st anniversary of the date the person is released from confinement or imprisonment if sentenced to a period of more than 5 years, or 2) the 2nd anniversary of the date the person is released if sentenced to a period of 5 years or less.	By law - Family Code §85.025.
652	16.3	Protective Orders	Periodic lists of persons under protective orders.	US						From local schedule, PS4175-16c.	
676	16.3	Public Complaint & Feedback Records	Complaints and other unsolicited feedback received from an outside source by TTPD concerning TTPD and/or its regulated entities, and records pertaining to the resolution of said complaints.	AC	2			AC= Date of receipt, action taken, or final disposition of the complaint, whichever comes last.		CAUTION: If a complaint becomes the subject of an administrative action, litigation, or Enforcement, Compliance, or Internal Affairs investigation, it must be included in and is subject to the minimum retention period for RSIN 1.1.048 and RSIN 1.1.073. CAUTION: Refer to OCC 1701.202 and HB 3389 when complaint regards racial profiling. Minimum retention would become 6 years.	



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683	16.3	Racial Profiling Report	Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	AC	6			AC = Submitted to TCOLE March 1st annually.		See RSIN 1.1.065 for raw data used to produce reports. ARCHIVES NOTE: Reports are archival when they deal with significant aspects of the agency's programs.	CCP Art. 2.132, 2.133 and 2.134; HB 3389; OC Chapter 1701.
684	16.3	Racial Profiling — Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports.	AC	6			AC = Data collected outlined by TTPD OP for annual TCOLE report.		See RSIN 1.1.067 for reports produced from raw data. CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule.	CCP Art. 2.132, 2.133 and 2.134; HB 3389; OC Chapter 1701.
654	16.3.047	Rap Sheets	Copies of rap sheets received from the Texas Department of Public Safety (DPS) or other law enforcement agencies.	AV						Series includes local schedule, PS4125-06.	
633	16.3	Resignation or Termination, Reports of	Copies of reports from a law enforcement agency to the Texas Commission on Law Enforcement on the resignation or termination of persons from the agency who are licensed by the commission.	AC	6			AC = Date of Separation.		From local schedule, PS4325-03.	By regulation - 37 TAC §217.7(h). For reporting requirements, see Texas Occupations Code §1701.452.
656	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						Series includes local schedule, PS4025-02.	



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648	16.3	Stolen Property Records	Cards, lists, or logs providing an abstract record of stolen property, including stolen vehicles, usually including a description of the item or vehicle, place and date stolen, serial numbers, and similar information.	AV						From local schedule, PS4175-12.	
675	16.3	Uniform Crime Reports (UCR) / NIBRS — Reports	Annual Report - Crime Statistics reported to FBI through DPS.	PM						From local schedule, PS4175-14b. Custody of Texas Dept of Public Safety. Report electronically submitted to DPS. DPS compiles and maintains.	
641	16.3	Vehicle Assignment Records	Logs, registers, or similar records documenting the sign-out and use of public safety vehicles by personnel.		2					From local schedule, PS4050-03a.	



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642	16.3	Vehicle History & Maintenance Records	Master record on each public safety vehicle (including watercraft) and its apparatus, containing the following: complete description including identification and license numbers; title and registration papers; annual beginning and ending odometer readings; total annual fuel, maintenance, labor, and parts costs; and complete maintenance and inspection history (in summary form showing date and nature of inspection, service, and repair).	LA						From local schedule, PS4050-04a. Retention Notes: a) This schedule does not require the creation of a vehicle master record of the type described, but if a vehicle master record is not maintained, records containing the prescribed information must be retained for the life of the vehicle. For example, if work orders in (b) are the only record maintained of repairs to public safety vehicles, they must be retained for the life of the vehicle. b) If a public safety vehicle is salvaged as the result of an accident, the vehicle master record or, if one is not created, documents providing the types of information prescribed must be retained for LA + 3 years. c) If a public safety vehicle is sold or given to another public safety agency for use as a public safety vehicle, the vehicle master record may be transferred with the vehicle.	
643	16.3	Vehicle History & Maintenance Records	Service requests, work orders, and daily or other periodic activity, inspection, testing, calibration, or inventory reports for public safety vehicles (including watercraft and aircraft), stocks of supplies, and installed equipment.		3					From local schedule, PS4050-04b.	



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644	16.3	Vehicle History & Maintenance Records	Specifications, circuit diagrams, and similar documents relating to vehicles and their apparatus.	LA						From local schedule, PS4050-04f.	
649	16.3.050	Wanted Persons Files	Records received on persons wanted by other law enforcement agencies.	AV							
674	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	1					See RSIN 16.3.039 for parking citations. CAUTION: Criminal Trespass Records are retained for the duration of the Trespass (typically one year). However, repeat offenders may continue to extend time with each new offense. Citations are kept until resolution in court/appeal is known.	
637	16.3.053	Weapons Record — Inspection and Repair	Records of inspection and repair of weapons.	LA							
638	16.3.055	Weapons Records — Issuance	Logs for issuing weapons to officers.	AC	3			AC = Return of weapon.			
636	16.3.054	Weapons Records — Inventory	Inventories of weapons.	US	3						
639a	16.3	Weapons Proficiency Tests	Reports of weapons proficiency tests administered to peace officers (includes hardship waivers for recertification).	US				Active: US; or date of separation + 5 years, whichever sooner.		From local schedule, PS4325-02.	By regulation – 37 TAC §217.3 (proof of licensing requirements) and §218.9 (hardship waiver). By law – Occupations Code §1701.357.



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639b	16.3	Weapons Proficiency Tests	Reports of weapons proficiency tests administered to peace officers (includes hardship waivers for recertification).	US				Retired: Date of issuance or denial + 2 years.		From local schedule, PS4325-02.	By regulation – 37 TAC §217.3 (proof of licensing requirements) and §218.9 (hardship waiver). By law – Occupations Code §1701.357.
640	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						