## The University of Texas at Austin Records Retention Schedule

<table>
<thead>
<tr>
<th>Item</th>
<th>UT Code</th>
<th>Record Series Title</th>
<th>Retention</th>
<th>Archival</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1.002</td>
<td>AALL003</td>
<td>Audits—External and Internal (Includes Work Papers and Reports)</td>
<td>AC + 7</td>
<td>AC = Publication or release of final audit findings</td>
<td></td>
</tr>
<tr>
<td>1.1.004</td>
<td>AALL011</td>
<td>Biennial Budget Request</td>
<td>AC + 6</td>
<td>I</td>
<td>AC = Passage of appropriations act; Refer to AALL521 for Departmental Budget and Budget Workpapers; UT System submits to State Publications Depository</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Fundraising Records—Department and Program files</td>
<td>7</td>
<td></td>
<td>Includes donor recognition records; for department or program gifts refer to AALL015; for donor development files refer to AALL016; for major gifts and institutional development records refer to DUR072; Note 2</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Gift Records—Department and Program files</td>
<td>7</td>
<td></td>
<td>For major gifts and institutional development records refer to DUR072; for department or program fundraising and donor recognition files refer to AALL014; for donor records refer to AALL016; Note 2 CAUTION: The name or other identifying information about a donor may be withheld from public disclosure under the Public Information Act. TGC Sec. 552.1235.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Donor Records—Development files</td>
<td>AC</td>
<td>I</td>
<td>AC = Prospect ceases to be valuable; Departments or Development Office may request transfer to archives when records have no further administrative value. CAUTION: Includes donor or prospective donor information only. For records of institutional fundraising records refer to DUR072 and AALL015 for Department and Program fundraising records. Note 2 CAUTION: The name or other identifying information about a donor may be withheld from public disclosure under the Public Information Act. TGC Sec. 552.1235.</td>
</tr>
<tr>
<td>1.1.006</td>
<td>AALL017</td>
<td>Complaint Records</td>
<td>AC + 2</td>
<td></td>
<td>AC = Final Disposition of complaint; if subject of litigation, use retention for AALL079</td>
</tr>
<tr>
<td>1.1.007</td>
<td>AALL020</td>
<td>Correspondence—Administrative</td>
<td>4</td>
<td>O</td>
<td>ARCHIVES NOTE: Archival review is required only for the administrative correspondence of the Office of the President and officers of the University reporting directly to the President. CAUTION: This and Records Series AALL020 should be used only for correspondence that is not included or directly related to another records series listed in the University of Texas records retention schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period for AALL011; a letter concerning an audit would be kept for the period required for AALL003, etc.</td>
</tr>
</tbody>
</table>

**Retention Codes**
- AC – After Closed, Terminated, Completed, Expired, Settled
- AV – Administrative Value
- CE – Calendar Year End
- FE – Fiscal Year End
- LA – Life of Asset
- MO – Months
- PM – Permanent
- US – Until Superseded

**Archival Codes**
- I – Transfer to Archives
- O – Review by Archivist

7th Recertification
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<tr>
<td>1.1.008</td>
<td>AALL025</td>
<td>Correspondence- General</td>
<td>2</td>
<td></td>
<td>CAUTION: This and Records Series AALL020 should be used only for correspondence that is not included or directly related to another records series listed in the University of Texas records retention schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period for AALL011; a letter concerning an audit would be kept for the period required for AALL003, etc.</td>
</tr>
<tr>
<td>1.1.010</td>
<td>AALL028</td>
<td>Institutional Directives - Documents that officially initiate, rescind, or amend general office procedures.</td>
<td>US + 1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.063</td>
<td>AALL029</td>
<td>Unit and Departmental Staff Meeting Minutes and Notes</td>
<td>1</td>
<td></td>
<td>Refer to AALL030 for University Committees, AALL073 for External Committees, AALL085 for Open Meeting agenda and minutes (certified); Refer to GFO series for General Faculty, Faculty Senate, and University Council meeting minutes; DSO086 for Student Government meetings</td>
</tr>
<tr>
<td>AALL030</td>
<td></td>
<td>University Committee Records - This series documents the activities of standing and ad hoc committees of the university. May include agendas; meeting minutes; reports; notes; working papers; and correspondence.</td>
<td>3</td>
<td>O</td>
<td>Refer to EVP209 for possible additional retention requirements for faculty participation in external and internal committees CAUTION: Do not assign this code to records of university committees with retention specified in the UTRRS; Refer to AALL029 for Departmental Staff Meetings, AALL073 for External Committees; AALL085 for Open Meeting agenda and minutes (certified); GFO series for General Faculty, Faculty Senate, and University Council meeting minutes; DSO086 for Student Government meetings</td>
</tr>
<tr>
<td>1.1.011</td>
<td>AALL031</td>
<td>Executive Orders - Documents that initiate, rescind, or amend a regulation, policy, or procedure that governs the program, services, or projects of the university.</td>
<td>US + 5</td>
<td>I</td>
<td></td>
</tr>
<tr>
<td>1.1.013</td>
<td>AALL033</td>
<td>Desk Calendars, Appointment Books, and other Daily Planning Records</td>
<td>CE + 1</td>
<td>O</td>
<td>ARCHIVES NOTE: Archival review is required only for the administrative correspondence of the Office of the President and officers of the University reporting directly to the President.</td>
</tr>
<tr>
<td>1.1.014</td>
<td>AALL036</td>
<td>Legal Opinions and Advice, Excluding Active and Pending Litigation</td>
<td>AV</td>
<td>O</td>
<td>Includes advice from attorney general. Note: Only cases that set legal precedent or exhibit historical value must be evaluated by the university archivist for archival preservation. Refer to AALL079 for litigation files.</td>
</tr>
</tbody>
</table>

## Retention Codes

| AC | After Closed, Terminated, Completed, Expired, Settled |
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<tbody>
<tr>
<td>1.1.019</td>
<td>AALL039</td>
<td>Media and Communications - This series provides background information on institutional faculty and staff, buildings, events, traditions, and other special topics that document a university's history and culture.</td>
<td>AV</td>
<td>O</td>
<td>Includes print, electronic, audio, and audio-visual records. Refer to AALL040 for public relations records; AALL043 for Photographs, Audio-visual Recordings, and Other Non-Textual Media, and AALL208 for departmental biographical information records;</td>
</tr>
<tr>
<td>1.1</td>
<td>AALL040</td>
<td>Public Relations Records-News, press release, or any public relations file maintained or issued.</td>
<td>2</td>
<td>O</td>
<td>Includes print, electronic, audio, and audio-visual records.</td>
</tr>
<tr>
<td>1.3.001</td>
<td>AALL041</td>
<td>Website Publications – publicly accessed web content displayed via Hypertext Markup Language (HTML), Cascading Style Sheets (CSS), programming or scripting languages, and text files; website assets such as images, documents, Portable Document Format files (PDFs), and videos; and data stored in databases or on other servers.</td>
<td>AC + 2</td>
<td>O</td>
<td>AC = Site marked as inactive; Public-facing websites of the university must be preserved in accordance with requirements for AALL124 University Publications. Refer to University Handbook of Business Procedures (HBP) Part 20 for guidance on versioning and other preservation requirements. All websites must undergo archival evaluation when all other retention requirements have been met.</td>
</tr>
<tr>
<td>1.1</td>
<td>AALL042</td>
<td>Internal Website Records – internal web content displayed via HTML, CSS, programming or scripting languages, and text files; website assets such as images, documents, PDFs, and videos; and data stored in databases or on other servers.</td>
<td>AC + 2</td>
<td>O</td>
<td>AC = Site is inactive for one year or longer; refer to HBP Part 20. CAUTION: If an internal website is a duplication of an official record and is not the authoritative or sole source of content, it may be considered a convenience copy. However all websites must be assessed for historical value by the University Archives prior to disposal. Internal website content that comprises a master record must be retained for the retention listed for the record in the UTRRS, e.g. Service Level Agreements would be retained for the retention set in AALL570.</td>
</tr>
</tbody>
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### 7th Recertification
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</tr>
</thead>
<tbody>
<tr>
<td>1.1.020</td>
<td>AALL045</td>
<td>Public Information Request-Not Exempted</td>
<td>AC + 1</td>
<td>O</td>
<td><strong>ARCHIVES NOTE:</strong> Archivists should apply archival selection criteria in the appraisal of these items. Selection criteria may include level of identification. Archivists may arrange with digital asset managers or similar personnel to identify historical photographs prior to transfer to the archives. Refer to AALL040 for public relations records; Audio-visual Recordings, and Other Non-Textual Media, and AALL208 for departmental biographical information records, Refer to AALL083 for duplicate, near-duplicate, and unusable images.</td>
</tr>
<tr>
<td>1.1.021</td>
<td>AALL048</td>
<td>Public Information Request-Exempted</td>
<td>AC + 2</td>
<td>O</td>
<td><strong>ARCHIVES NOTE:</strong> Archivists should apply archival selection criteria in the appraisal of these items. Selection criteria may include level of identification. Archivists may arrange with digital asset managers or similar personnel to identify historical photographs prior to transfer to the archives. Refer to AALL040 for public relations records; Audio-visual Recordings, and Other Non-Textual Media, and AALL208 for departmental biographical information records, Refer to AALL083 for duplicate, near-duplicate, and unusable images.</td>
</tr>
<tr>
<td>1.1.023</td>
<td>AALL050</td>
<td>Organization Charts</td>
<td>US</td>
<td>I</td>
<td></td>
</tr>
<tr>
<td>1.1.027</td>
<td>AALL052</td>
<td>Proposed Legislation</td>
<td>AV</td>
<td>O</td>
<td></td>
</tr>
<tr>
<td>1.1.024</td>
<td>AALL053</td>
<td>Plans and Planning Records - Plans and records relating to the process of planning new or redefined programs, services, or projects of the university that are not included in or directly related to other records series in the University of Texas at Austin Records Retention Schedule (UTRRS)</td>
<td>AC + 3</td>
<td>O</td>
<td><strong>ARCHIVES NOTE:</strong> Archivists should apply archival selection criteria in the appraisal of these items. Selection criteria may include level of identification. Archivists may arrange with digital asset managers or similar personnel to identify historical photographs prior to transfer to the archives. Refer to AALL040 for public relations records; Audio-visual Recordings, and Other Non-Textual Media, and AALL208 for departmental biographical information records, Refer to AALL083 for duplicate, near-duplicate, and unusable images.</td>
</tr>
<tr>
<td>1.1.055</td>
<td>AALL054</td>
<td>Strategic Plans - Information resources and operational strategic plans</td>
<td>AC + 6</td>
<td>I</td>
<td><strong>ARCHIVES NOTE:</strong> The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program of the Texas State Library and Archives Commission.</td>
</tr>
<tr>
<td>1.1.056</td>
<td>AALL055</td>
<td>Americans with Disabilities Act (ADA) Documentation</td>
<td>3</td>
<td>O</td>
<td><strong>ARCHIVES NOTE:</strong> The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program of the Texas State Library and Archives Commission.</td>
</tr>
<tr>
<td>1.1.038</td>
<td>AALL057</td>
<td>Public Surveys and Feedback Forms</td>
<td>AC</td>
<td>O</td>
<td><strong>ARCHIVES NOTE:</strong> The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program of the Texas State Library and Archives Commission.</td>
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<tbody>
<tr>
<td>1.1.070</td>
<td>AALL058</td>
<td>University Rules Policies and Procedures - Manuals, guidelines,</td>
<td>AC + 3</td>
<td>O</td>
<td>AC = Completion or termination of program, rules, policies or procedures; Refer to AALL059 for working files</td>
</tr>
<tr>
<td></td>
<td></td>
<td>administrative rules, or similar records distributed internally for the use of employees or external that sets out the rules policies, and procedures that govern university programs, services, and programs.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.071</td>
<td>AALL059</td>
<td>University Rules Policies and Procedures--Working Files</td>
<td>AC + 3</td>
<td>O</td>
<td>AC = Completion or termination of program, rules, policies or procedures; Refer to AALL058 for published rules and procedures</td>
</tr>
<tr>
<td>1.1.040</td>
<td>AALL064</td>
<td>Athletic Academic Certification Forms</td>
<td>AC + 6</td>
<td></td>
<td>AC = Certifying year; Also refer to REG064</td>
</tr>
<tr>
<td>1.1.040</td>
<td>AALL072</td>
<td>Speeches, Papers, Presentations - This series documents speeches and statements written and delivered by university faculty and staff in connection with institutional business. May include but is not limited to: final copies; audio or video recordings of the speech/presentation; drafts; source materials; and working papers.</td>
<td>AC</td>
<td>O</td>
<td>AC = Termination of employment or final appointment. CAUTION: Refer to EVP209 for possible additional retention of faculty records in this series; Refer to AALL409 for records pertaining to university lecture series.</td>
</tr>
<tr>
<td>1.1.041</td>
<td>AALL073</td>
<td>External Committee Participation Records - This series documents the participation of university administrators, faculty, and staff in external committees, professional and educational associations, and other organizations.</td>
<td>AC</td>
<td>O</td>
<td>AC = Termination of service on committee, disbanding of committee. CAUTION: Refer to AALL030 University Committee Records and ORS prefix series for university research related committees.</td>
</tr>
<tr>
<td>1.1.043</td>
<td>AALL075</td>
<td>Suggestion System Records</td>
<td>1</td>
<td></td>
<td>Refer to AALL057 for public feedback and satisfaction surveys</td>
</tr>
<tr>
<td>1.1.043</td>
<td>AALL077</td>
<td>Training Materials-Instructional materials for training about university policy, rules, and programs</td>
<td>US + 1</td>
<td></td>
<td>Refer to AALL232 for individual staff training records, AALL294 for HR policy training records, and AALL350 for university course materials</td>
</tr>
<tr>
<td>1.1</td>
<td>AALL078</td>
<td>Accounting Continuing Professional Education (CPE) Records</td>
<td>FE + 3</td>
<td></td>
<td>American Institute of Certified Public Professionals (AICPA); 22 TAC Chapter 523</td>
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<tbody>
<tr>
<td>1.1.048</td>
<td>AALL079</td>
<td>Litigation Files</td>
<td>AC + 1</td>
<td>O</td>
<td>AC = As applicable, decision of the University 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. ARCHIVES NOTE: Only cases that set legal precedent or exhibit historical value require archival review.</td>
</tr>
<tr>
<td>1.1.057</td>
<td>AALL083</td>
<td>Transitory Information -- Records or information not used to support university actions or decisions</td>
<td>AC</td>
<td></td>
<td>AC = Information transferred to official university record or purpose of transitory information has been fulfilled. CAUTION: Department must not assign this code to records that are listed as official records in the UTRRS; this series must not be used for official records not listed in the UTRRS; contact Records Management Services for classification assistance.</td>
</tr>
<tr>
<td>1.1.058</td>
<td>AALL085</td>
<td>Open Meeting Agenda and Minutes (Certified)</td>
<td>PM</td>
<td>I</td>
<td>CAUTION: Use this series only for meetings required under TGC Chapter 551; Refer to AALL030 for University Committee Meeting Records; Note 2</td>
</tr>
<tr>
<td>1.1.059</td>
<td>AALL086</td>
<td>Meetings, Certified Agendas or Tape Recordings of Closed Meetings</td>
<td>AC + 2</td>
<td></td>
<td>AC = Date of meeting or completion of pending action involving the meeting, whichever is later. CAUTION: Use this series only for meetings required under TGC Chapter 551; Refer to AALL085 for Open Meeting agenda and minutes.</td>
</tr>
<tr>
<td>1.1.060</td>
<td>AALL087</td>
<td>Audio or Videotapes of Open Meeting</td>
<td>AC + 90 days</td>
<td></td>
<td>AC = Governing body official approval of written minutes; CAUTION: audio and video tapes may not be kept in lieu of written minutes. The proceeding of all TGC Chapter 551 meetings must be reduced to writing; TGC §551.104(a)</td>
</tr>
<tr>
<td>1.1.062</td>
<td>AALL089</td>
<td>Open Meetings Supporting Documentation</td>
<td>2</td>
<td>I</td>
<td>CAUTION: Only for meetings required under TGC Chapter 551; Refer to AALL030 for University Committee Meeting Records</td>
</tr>
<tr>
<td>1.1.065</td>
<td>AALL091</td>
<td>Reports and Studies (Non-fiscal) Raw Data</td>
<td>AV</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.067</td>
<td>AALL096</td>
<td>Reports and Studies (Non-fiscal) - Reports or studies on non-fiscal aspects of university programs, services, projects compiled by agency personnel, by advisory committees, or by consultants under contract with the university. Includes report distributed either internally or to other entities.</td>
<td>3</td>
<td>O</td>
<td>CAUTION: Review the UTRRS for retention requirements for named reports that may have longer retention requirements.</td>
</tr>
<tr>
<td>1.1.064</td>
<td>AALL097</td>
<td>Agency Performance Measures</td>
<td>FE + 3</td>
<td></td>
<td>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.</td>
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<tr>
<td>1.1.068</td>
<td>AALL098</td>
<td>Reports on Performance Measures - Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.</td>
<td>AC + 6</td>
<td>AC = September 1 of odd-numbered calendar years</td>
<td></td>
</tr>
<tr>
<td>1.1.069</td>
<td>AALL101</td>
<td>Reports-Activity</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2.003</td>
<td>AALL106</td>
<td>Forms History File</td>
<td>AC + 1</td>
<td>AC = Discontinuance of use of form</td>
<td></td>
</tr>
<tr>
<td>1.2.006</td>
<td>AALL112</td>
<td>Records Transmittal Documentation</td>
<td>AC + 2</td>
<td>AC = Date of authorization for destruction or permanent transfer from storage, by the University Records Management Officer</td>
<td></td>
</tr>
<tr>
<td>1.2.013</td>
<td>AALL113</td>
<td>Records Control Locator Aids - Includes indexes, card files, shelf lists, registers, guides, etc.</td>
<td>AC</td>
<td>AC = The related records have been destroyed or control aid is updated, revised, or no longer needed; These records must carry the same retention and archival requirements as the records they support</td>
<td></td>
</tr>
<tr>
<td>1.2.001</td>
<td>AALL115</td>
<td>Request for Internal Authorization to Dispose of State Records</td>
<td>FE + 3</td>
<td>Departmental form, Records Management Services holds master record; refer to ACC114 for institutional request to Texas State Library and Archives Commission (TSLAC)</td>
<td></td>
</tr>
<tr>
<td>1.2.012</td>
<td>AALL120</td>
<td>Records Inventory Worksheets</td>
<td>US</td>
<td>Records and workpapers used to develop departmental records inventory</td>
<td></td>
</tr>
<tr>
<td>1.2.014</td>
<td>AALL121</td>
<td>Records Management Plans</td>
<td>US + 1</td>
<td>Includes departmental records management plans developed in accordance with the University HBP Part 20.4.3 Records Management Plan and the final departmental inventory of records/file plan.</td>
<td></td>
</tr>
<tr>
<td>1.2.015</td>
<td>AALL122</td>
<td>Disaster Recovery Service Transmittals (RMD 109) - Also includes documentation for disaster recovery services provided by other entities.</td>
<td>FE + 1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2.016</td>
<td>AALL123</td>
<td>Disaster Recovery Service Approval Form (RMD113) - Agency copy of form.</td>
<td>AC</td>
<td>AC = Until superseded or termination of service</td>
<td></td>
</tr>
<tr>
<td>1.3.001</td>
<td>AALL124</td>
<td>University Publications</td>
<td>AC + 2</td>
<td>AC = Until superseded or obsolete; Refer to AALL041 for web publications and note that publication listed separately in the UTRRS must be kept for the longer of the two retention periods. Some University publications must be submitted to the Texas State Library and Archives Commission Depository Program; 13 TAC 3.1-3.13</td>
<td></td>
</tr>
</tbody>
</table>

### Retention Codes
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</thead>
<tbody>
<tr>
<td>AALL126</td>
<td></td>
<td>Patents, Product Registration, and associated documentation</td>
<td>PM</td>
<td>I</td>
<td>These records are to be retained permanently by the university. Departments and Administrative units may transfer these records to the University Archives for permanent retention after departmental retention of up to 30 years; incidental correspondence regarding use of trademark may be disposed after 4 years; Refer to ICA012 for trademark licensing records</td>
</tr>
<tr>
<td>AALL128</td>
<td></td>
<td>License agreements, Know-how agreements, and other contractual agreements resulting from the licensing of technology</td>
<td>AC + 7</td>
<td>I</td>
<td>AC = Completion of all terms, and extensions; Patent documents must be kept permanently and may eventually be transferred to University Archives; refer to AALL126 for patent records</td>
</tr>
<tr>
<td>1.3.002</td>
<td></td>
<td>Publication Development Files--Includes photographs, image files, original artwork, graphic designs, video, and other non-textual files used in university publications and promotional materials, includes work by external designers</td>
<td>AV</td>
<td>O</td>
<td>Refer to AALL083 for unuseable, duplicate, and near-duplicate images; Refer to AALL040, AALL041, AALL042, and AALL208 for similar records used to document university life, culture, and history or to communicate and provide information to the public</td>
</tr>
<tr>
<td>1.3</td>
<td></td>
<td>Brochures and Promotional Materials</td>
<td>AV</td>
<td>O</td>
<td>Refer to AALL040, AALL041, AALL042, and AALL208 for similar records used to document university life, culture, and history or to communicate and provide information to the public</td>
</tr>
<tr>
<td>AALL152</td>
<td></td>
<td>Manuscripts and Other Rare Materials</td>
<td>PM</td>
<td></td>
<td>Harry Hunt Ransom Humanities Research Center (HHRHRC) security copy stored at Texas State Library Records Center 94-721-010; Note 2</td>
</tr>
<tr>
<td>AALL153</td>
<td></td>
<td>Patron Registration Records - forms filled out by archives users to gain access to the reading room to view archival materials.</td>
<td>4</td>
<td></td>
<td>Requests for library or museum materials, books or artifacts</td>
</tr>
<tr>
<td>AALL154</td>
<td></td>
<td>Permission History Files - Records of the archives/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 and Notice of Publication forms</td>
<td>AV</td>
<td>O</td>
<td></td>
</tr>
<tr>
<td>AALL155</td>
<td></td>
<td>Circulation Records</td>
<td>AC</td>
<td></td>
<td>AC = Transaction is completed and all material returned and verified; The disposal of circulation records needs not be documented through destruction authorizations or in records disposition logs</td>
</tr>
</tbody>
</table>

## Retention Codes

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<tbody>
<tr>
<td>2.2.016</td>
<td>AALL160</td>
<td>Software Registrations, Warranties, and License Agreements</td>
<td>LA + 3</td>
<td></td>
<td>AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur. CAUTION: This series may not be assigned to processing files that fall under records series listed elsewhere in the UTRRS.</td>
</tr>
<tr>
<td>2.1.001</td>
<td>AALL163</td>
<td>Processing Files-Machine-readable files used in the creation, utilization, and updating of master files.</td>
<td>AC</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.1.002</td>
<td>AALL164</td>
<td>Automated Files- Master files; Relatively long-lived computer files containing electronic records. Examples include but are not limited to, data tables of relational databases used by application or computer programs.</td>
<td>AC</td>
<td></td>
<td>AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur. CAUTION: This series may not be assigned to processing files that fall under records series listed elsewhere in the UTRRS.</td>
</tr>
<tr>
<td>2.1.007</td>
<td>AALL170</td>
<td>Programs, Source Code, &amp; Job Control Language Needed to Read Existing Records</td>
<td>AC + 3</td>
<td></td>
<td>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.</td>
</tr>
<tr>
<td>2.1.008</td>
<td>AALL173</td>
<td>Operating System Files &amp; Hardware Documentation</td>
<td>AC</td>
<td></td>
<td>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 requires the hardware to be retrieved and read; 13 TAC 6.94</td>
</tr>
<tr>
<td>2.1.009</td>
<td>AALL176</td>
<td>Technical Documentation for Automated Records (including test files)</td>
<td>AC</td>
<td></td>
<td>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 requires the hardware to be retrieved and read; 13 TAC 6.94</td>
</tr>
<tr>
<td>2.1.011</td>
<td>AALL177</td>
<td>Finding Aids, Indexes, and Tracking Systems-Automated indexes, lists, registers, and other finding aids used to provide access to records.</td>
<td>AC</td>
<td></td>
<td>AC = The related records have met retention requirements</td>
</tr>
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<tbody>
<tr>
<td>2.1.010</td>
<td>AALL179</td>
<td>Audit Trail Records - Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.</td>
<td>AC + 90 days</td>
<td>AC = All audit requirements have been met.</td>
<td></td>
</tr>
<tr>
<td>2.2.001</td>
<td>AALL180</td>
<td>System Monitoring Records - Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.</td>
<td>AV</td>
<td>Refer to IT047-IT050 for individual use monitoring records.</td>
<td></td>
</tr>
<tr>
<td>2.2.002</td>
<td>AALL182</td>
<td>Chargeback Records to Computer Services Users - Records used to document, calculate costs and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.</td>
<td>FE + 3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.2.004</td>
<td>AALL184</td>
<td>Computer Job Schedules and Reports</td>
<td>3 MO</td>
<td>Includes computer utilization records; Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.</td>
<td></td>
</tr>
<tr>
<td>2.2.010</td>
<td>AALL185</td>
<td>Information Technologies Policy and Procedures</td>
<td>US + 3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.2.011</td>
<td>AALL186</td>
<td>Batch Data Entry Control Records - Forms and logs used to reconcile batches submitted for processing against batches received and processed.</td>
<td>AC</td>
<td>AC = When reconciliation has been confirmed</td>
<td></td>
</tr>
<tr>
<td>2.2.012</td>
<td>AALL187</td>
<td>Output Records for Computer Production - Reports showing transaction that were accepted, rejected, suspended, and/or processed.</td>
<td>AV</td>
<td></td>
<td></td>
</tr>
</tbody>
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</thead>
<tbody>
<tr>
<td>2.2.013</td>
<td>AALL188</td>
<td>Quality Assurance Records- Information verifying the quality of system, hardware, or</td>
<td>AC</td>
<td></td>
<td>AC = No longer needed as an audit trail for any records modified</td>
</tr>
<tr>
<td></td>
<td></td>
<td>software operations including records of errors or failures and the loss of data</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>resulting from such failures, documentation of abnormal termination and of error free</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>processing, checks of changes put into production, transaction histories, and other</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>records needed as an audit trail to evaluate data accuracy.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.2.014</td>
<td>AALL189</td>
<td>Internet Cookies- Data resident on hard drives that make use of user-specific</td>
<td>AV</td>
<td></td>
<td>Where applicable, system administrators are advised to be able to demonstrate consistent requirements for</td>
</tr>
<tr>
<td></td>
<td></td>
<td>information transmitted by the Web server onto the user’s computer so that the</td>
<td></td>
<td></td>
<td>management of this data. The disposal of internet cookies need not be documented through request to dispose of</td>
</tr>
<tr>
<td></td>
<td></td>
<td>information might be available for later access by itself or other servers.</td>
<td></td>
<td></td>
<td>records procedure.</td>
</tr>
<tr>
<td>2.2.015</td>
<td>AALL190</td>
<td>History Files-Web Sites- A record of the documents visited during an Internet session</td>
<td>AV</td>
<td></td>
<td>Where applicable, system administrators are advised to be able to demonstrate consistent requirements for</td>
</tr>
<tr>
<td></td>
<td></td>
<td>that allows users to access previously visited page more quickly or to generate a</td>
<td></td>
<td></td>
<td>management of this data. The disposal of session history files need not be documented through request to dispose of</td>
</tr>
<tr>
<td></td>
<td></td>
<td>record of usage of a state-owned computer.</td>
<td></td>
<td></td>
<td>records procedure.</td>
</tr>
<tr>
<td>3.1.001</td>
<td>AALL191</td>
<td>Applications for Employment - Not Hired</td>
<td>FE + 2</td>
<td></td>
<td>29 CFR 1602.49(a); CAUTION: All records related to staff recruitment, interview, and selection must be retained for</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>the FE + 2 year period; refer to AALL204 for other records associated with staff recruitment processes</td>
</tr>
<tr>
<td>3.1.002</td>
<td>AALL193</td>
<td>Applications for Employment - Hired</td>
<td>AC + 5</td>
<td></td>
<td>AC = Termination from UT Austin; Department folder copy</td>
</tr>
<tr>
<td>3.1.002</td>
<td>AALL195</td>
<td>Application for Appointment as a Visiting Scholar -- and associated departmental</td>
<td>AC + 5</td>
<td></td>
<td>AC = After termination of appointment ; refer to AALL191 for applications for scholars who apply but are not</td>
</tr>
<tr>
<td></td>
<td></td>
<td>employee documentation</td>
<td></td>
<td></td>
<td>appointed; if university employment continues after appointment this documentation must be retained in accordance</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>with AALL207 Departmental Employee Folder</td>
</tr>
<tr>
<td>3.1.006</td>
<td>AALL196</td>
<td>Employee Counseling Records</td>
<td>AC + 3</td>
<td></td>
<td>AC = Termination of counseling; Department folder copy; if counseling records are used to support corrective or</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>disciplinary action the records must be retained in accordance with AALL216 or AALL218; Refer to HR191 for EAP</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>counseling records</td>
</tr>
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<tr>
<td>3.1.012</td>
<td>AALL197</td>
<td>Job Opportunity Announcements</td>
</tr>
<tr>
<td>3.1.013</td>
<td>AALL202</td>
<td>Employee Contracts</td>
</tr>
<tr>
<td>3.1.014</td>
<td>AALL204</td>
<td>Staff Recruitment Records</td>
</tr>
<tr>
<td>3.1.014</td>
<td>AALL206</td>
<td>Faculty Recruiting Records</td>
</tr>
<tr>
<td>3.1</td>
<td>AALL207</td>
<td>Departmental Employee Folder</td>
</tr>
<tr>
<td>3.1.018</td>
<td>AALL210</td>
<td>Disputed Disciplinary Actions Resolved in Employee’s Favor</td>
</tr>
<tr>
<td>3.1.039</td>
<td>AALL212</td>
<td>Employment Grievance Records – Records created in resolving complaints and grievances arising from employment of classified, administrative, and professional employees, includes probationary, temporary, hourly or per diem employees who work on an as needed basis</td>
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</tbody>
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<tr>
<td>2</td>
<td>AC + 4</td>
<td>29 CFR 1602.49(a); Note 5</td>
</tr>
<tr>
<td>FE + 2</td>
<td>AC + 3</td>
<td>All records pertaining to recruitment including interview questions, notes, rankings, and selection criteria must be retained in accordance with this retention series for FE + 2 years; refer to AALL191 for application forms that have been separated from other recruitment records; 29 CFR 1602.49(a); Note 5</td>
</tr>
<tr>
<td>AC + 5</td>
<td></td>
<td>AC = Date of hiring decision; 29 CFR 1602.49(a); Note 5</td>
</tr>
<tr>
<td>AC</td>
<td></td>
<td>AC = Termination of employment from UT Austin; Faculty, staff, and student employees; departmental folders of notable faculty and staff may possess archival value, notify records management services of potential historical value when requesting disposition; Refer to AALL208 for non-administrative biographical information pertaining to faculty and staff retained by the department</td>
</tr>
<tr>
<td>AV</td>
<td>O</td>
<td>Note 2; This does not refer to the electronic Employee Information System</td>
</tr>
<tr>
<td>AC</td>
<td></td>
<td>AC = Final decision or matter closed; CAUTION: Does not include formal complaint filed with EEO. If the 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. Refer also to AALL196, AALL212, AALL216, AALL218 and to OMB001 for issues involving university ombuds office</td>
</tr>
<tr>
<td>AC + 3</td>
<td></td>
<td>AC = Final disposition of grievance; Refer to the Handbook of Operating Procedures (HOP) Policy 5-2430 which requires that grievance records be held in the employee departmental personnel file</td>
</tr>
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<tr>
<td>3.1.019</td>
<td>AALL214</td>
<td>Performance Evaluations</td>
<td>3</td>
<td></td>
<td>29 CFR 1620.32(c)</td>
</tr>
<tr>
<td>3.1.020</td>
<td>AALL216</td>
<td>Personnel Corrective Action Documentation</td>
<td>AC + 5</td>
<td></td>
<td>AC = Termination of corrective action; This series documents efforts to make an employee aware of the need to change or improve work performance or conduct; If during the retention period of this records series, any part of the series is used to document and support personnel disciplinary actions under series AALL218 the documentation must be retained in accordance with AALL218</td>
</tr>
<tr>
<td>3.1.021</td>
<td>AALL218</td>
<td>Personnel Disciplinary Action Documentation</td>
<td>AC + 5</td>
<td></td>
<td>AC = Termination of employment; This series documents the predisciplinary hearing and subsequent imposition of disciplinary penalties; Refer to University of Texas HOP 5-2420</td>
</tr>
<tr>
<td>3.1</td>
<td>AALL219</td>
<td>Supervisor’s Notes and Files Pertaining to Employee Performance</td>
<td>AC</td>
<td></td>
<td>AC = Transfer of information to AALL210, AALL214, AALL216, AALL218, or AALL234 employee performance series for retention; Notes or information not transferred for retention under AALL210, AALL214, AALL216, AALL218, or AALL234 must not be used to support administrative actions or decisions pertaining to employee performance, recognition, or discipline; Supervisor’s notes that are not transferred to employee performance records series should be securely destroyed after 3 years or in keeping with departmental retention guidelines.</td>
</tr>
<tr>
<td>3.1.022</td>
<td>AALL220</td>
<td>Personnel Information or Action Forms</td>
<td>2</td>
<td></td>
<td>CAUTION: Do not assign this code to a record that can be classified under another record series in the UTRRS; 29 CFR 1602.49(a)</td>
</tr>
<tr>
<td>3.1.023</td>
<td>AALL222</td>
<td>Position/Job Descriptions-Position classification system</td>
<td>AC + 4</td>
<td></td>
<td>AC = Until superseded or job eliminated; 40 TAC 815.106(i)</td>
</tr>
<tr>
<td>3.1</td>
<td>AALL230</td>
<td>Background Check Release Form</td>
<td>5</td>
<td></td>
<td>When paper form is used it must be retained by department; Fair and Accurate Credit Transactions (FACT) Act of 2003; Public Law 108-159</td>
</tr>
<tr>
<td>3.1.027</td>
<td>AALL232</td>
<td>Training Records-for individual employees</td>
<td>AC + 5</td>
<td></td>
<td>AC = Termination of employment</td>
</tr>
<tr>
<td>3.1.037</td>
<td>AALL234</td>
<td>Employee Recognition Records –Records of an individual selected to receive an award or other recognition.</td>
<td>AC + 5</td>
<td></td>
<td>AC = Termination of employment; May be kept as part of AALL207 Departmental Employee Folder</td>
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<tr>
<td>AALL235</td>
<td></td>
<td>Award Program and History Records - documents programs to recognize merit or achievements of university faculty, staff, and students. Records include eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, and biographies of winners.</td>
<td>AC</td>
<td>0</td>
<td>AC = Termination of award; Archives Note: Only institutional award merit archival review. Department-level awards recognizing employee or student achievement do not need to be reviewed for archival value.</td>
</tr>
<tr>
<td>AALL236</td>
<td></td>
<td>Award Administration Records</td>
<td>FE + 3</td>
<td></td>
<td>Processing documentation that does not pertain to individuals selected or not selected. Includes documentation of money awards paid.</td>
</tr>
<tr>
<td>AALL237</td>
<td></td>
<td>Award Selection Records – Includes information about candidates considered, evaluation notes and matrices, and associated records. Retain information about candidates considered but not selected under this series.</td>
<td>2</td>
<td>0</td>
<td>CAUTION: This records series documents the process of selecting an individual to receive an award. A record of an employee’s receiving an award, incentive, or promotion should be classified as AALL234. Refer also to AALL235 for retention of award program history and AALL236 for award administration records.</td>
</tr>
<tr>
<td>3.1.034</td>
<td>AALL242</td>
<td>Resumes - Unsolicited</td>
<td>AV</td>
<td></td>
<td>If used in employment selection must retain in accordance with AALL204</td>
</tr>
<tr>
<td>3.1.035</td>
<td>AALL243</td>
<td>Performance Bond</td>
<td>AC + 4</td>
<td></td>
<td>AC = After expiration of bond; Note 2</td>
</tr>
<tr>
<td>1.1</td>
<td>AALL244</td>
<td>Notary Public Application and Appointment Files</td>
<td>AC + 3</td>
<td></td>
<td>AC = Expiration of appointment; Qualification by an Officer or State Employee who does not Furnish a Notary Public Bond (1 TAC§87.4); appointee holds original certificate and copies of the records of notarization in accordance with 1 TAC §87.44</td>
</tr>
<tr>
<td>3.2.001</td>
<td>AALL249</td>
<td>Income Adjustment Authorizations- Includes Savings Bonds</td>
<td>AC + 4</td>
<td></td>
<td>AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever is sooner.</td>
</tr>
<tr>
<td>3.2.003</td>
<td>AALL251</td>
<td>Federal Tax Records</td>
<td>AC + 4</td>
<td></td>
<td>AC = Tax due date, date the claim is filed, or date tax is paid whichever is later; Includes Wage and Tax Statement Form W-2 (W-2), 1098, 1099, Federal Insurance Contributions Act (FICA), and others; 26CFR 31.6001-1(e)(2)</td>
</tr>
<tr>
<td>3.3.020</td>
<td>AALL274</td>
<td>Work Schedules/Assignments</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.3.023</td>
<td>AALL279</td>
<td>Request for Travel Authorizations-and other Reimbursable Request Authorizations</td>
<td>FE + 3</td>
<td></td>
<td>Notes 1 and 3; Departments must maintain any original backup that is required but not submitted to Financial Affairs; See codes AALL545, AALL552, AALL595, and ACC563 for further retention requirements when applicable.</td>
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**Retention Codes**

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<tr>
<th>AC</th>
<th>AV</th>
<th>CE</th>
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<th>LA</th>
<th>MO</th>
<th>PM</th>
<th>US</th>
<th>I</th>
<th>O</th>
</tr>
</thead>
<tbody>
<tr>
<td>After Closed, Terminated, Completed, Expired, Settled</td>
<td>Administrative Value</td>
<td>Calendar Year End</td>
<td>Fiscal Year End</td>
<td>Life of Asset</td>
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</tr>
</thead>
<tbody>
<tr>
<td>3.3.024</td>
<td>AALL281</td>
<td>Personnel Policies and Procedures</td>
<td>US + 3</td>
<td></td>
<td>Development and work-product records are to be retained for the same period as the final Policy and Procedure records.</td>
</tr>
<tr>
<td>3.3.026</td>
<td>AALL286</td>
<td>Staffing Reports</td>
<td>US + 3</td>
<td></td>
<td>Note 1</td>
</tr>
<tr>
<td>3.3.027</td>
<td>AALL292</td>
<td>Aptitude &amp; Skills tests</td>
<td>US + 2</td>
<td></td>
<td>Includes test papers; 29 CFR 1602.49</td>
</tr>
<tr>
<td>3.3.030</td>
<td>AALL294</td>
<td>Personnel Policy Training Materials and Records</td>
<td>US + 2</td>
<td></td>
<td>Use AALL683 for hazardous material training records</td>
</tr>
<tr>
<td>3.4.004</td>
<td>AALL302</td>
<td>Overtime Authorizations and Schedules</td>
<td>2</td>
<td></td>
<td>Note 1</td>
</tr>
<tr>
<td>3.4.003</td>
<td>AALL303</td>
<td>Less Than Full-time Worked Records</td>
<td>4</td>
<td></td>
<td>Note 1; 40 TAC 815.106(i)</td>
</tr>
<tr>
<td>3.4.006</td>
<td>AALL306</td>
<td>Time Cards and Time Sheets</td>
<td>FE + 4</td>
<td></td>
<td>Note 1; 40 TAC 815.106(i)</td>
</tr>
<tr>
<td>3.1</td>
<td>AALL307</td>
<td>Request for Outside Employment</td>
<td>AC + 5</td>
<td></td>
<td>AC = Termination of contract or end date of agreement; Departmental Employee Folder; Note 2</td>
</tr>
<tr>
<td>3.4.007</td>
<td>AALL308</td>
<td>Time off and/or Sick Leave Requests</td>
<td>4</td>
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<td>Note 1</td>
</tr>
<tr>
<td>3.4.002</td>
<td>AALL309</td>
<td>Leave Status Reports</td>
<td>4</td>
<td></td>
<td>Note 1; 40 TAC 815.106(i)</td>
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<tr>
<td>3.3.020</td>
<td>AALL310</td>
<td>Flexible Work Arrangement</td>
<td>AC + 5</td>
<td></td>
<td>AC = Termination of employment; Departmental Employee Folder</td>
</tr>
<tr>
<td>3.3</td>
<td>AALL311</td>
<td>Verification of State Service Records</td>
<td>AC + 5</td>
<td></td>
<td>AC = Request filled; Departmental Employee Folder; Note 2</td>
</tr>
<tr>
<td>AALL312</td>
<td></td>
<td>Program Application Materials for Applicants Who do not Enter- Includes: Correspondence and Letters of Recommendation, Transcripts (high school and other colleges) and any other submitted materials</td>
<td>AC + 1</td>
<td></td>
<td>AC = Semester of application; For use by departments other than the Office of Admissions; includes undergraduate and graduate students; CAUTION: Refer to AALL358 Departmental Student Records for the admissions records for students who matriculate</td>
</tr>
<tr>
<td>AALL313</td>
<td></td>
<td>Internship Program Records</td>
<td>AC + 5</td>
<td></td>
<td>AC = End of academic term in which the internship occurred</td>
</tr>
<tr>
<td>AALL334</td>
<td></td>
<td>Protocols for Research Projects Involving Human and Animal Subjects</td>
<td>AC + 3</td>
<td></td>
<td>AC = Completion or expiration of study or till resolution of non-compliance; 45 CFR 46.115(b); 9 CFR 2.35</td>
</tr>
<tr>
<td>AALL335</td>
<td></td>
<td>Protocols for Research Projects</td>
<td>AC + 3</td>
<td></td>
<td>AC = Completion or expiration of study; or till resolution of non-compliance</td>
</tr>
<tr>
<td>AALL339</td>
<td></td>
<td>Thesis and Dissertation Records</td>
<td>PM</td>
<td>I</td>
<td>Transfer to UT Library for permanent retention</td>
</tr>
<tr>
<td>AALL350</td>
<td></td>
<td>Student Coursework, Tests, Assignments – coursework that is not returned to the student</td>
<td>AC + 1</td>
<td></td>
<td>AC = Close of course semester; If grade is contested materials must be retained until issue is resolved and for one year thereafter; Refer to Office of the Registrar Catalog: Availability of Classwork to Students, and University of Texas HOP 9-1210</td>
</tr>
</tbody>
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7th Recertification
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<tr>
<td>AALL351</td>
<td></td>
<td>Faculty Grade Book - Record of students in course and work completed. Includes computer and non-computer-generated grade sheets, and other such materials that permit a reconstruction of a student's graded performance in a course.</td>
<td>AC + 1</td>
<td></td>
<td>AC = End of course semester or until disputes about the grade are resolved; Refer to Office of the Registrar Catalog: Availability of Classwork to Students, and University of Texas HOP 9-1210</td>
</tr>
<tr>
<td>AALL352</td>
<td></td>
<td>Course Records - Departmental course offerings and individual course contents. This series may include but is 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; handout materials; and related documentation and correspondence.</td>
<td>AC + 5</td>
<td></td>
<td>AC = obsolescence of course; CAUTION: Online syllabi and CVs must remain available to the public for 2 years after initially posted in accordance with Texas Education Code (TEC) 51.974 (c)</td>
</tr>
<tr>
<td>AALL358</td>
<td></td>
<td>Departmental Student Records- Undergraduate and Graduate Student - Includes departmental/program application materials including letters of recommendation for students who matriculate, advising, and student tracking and status records.</td>
<td>AC + 5</td>
<td></td>
<td>AC = After graduation or last day of attendance; Does not include records retained by the Office of the Registrar or other administrative offices; refer to AALL312 for program admissions records for applicants who do not matriculate; refer to IO201 for additional retention requirements for International student records</td>
</tr>
<tr>
<td>AALL367</td>
<td></td>
<td>Acknowledgment Forms- Includes acknowledgment of receiving training in institutional safety and policy rules and requirements</td>
<td>US + AC + 2</td>
<td></td>
<td>AC = Termination of employment; Some acknowledgments must be updated on 2 or 3 year cycles throughout employment. Upon termination all acknowledgments will be retained for two years</td>
</tr>
<tr>
<td>AALL385</td>
<td></td>
<td>Emergency Medical Information Forms for Students</td>
<td>AC + 5</td>
<td></td>
<td>AC = Graduation date or date of last attendance</td>
</tr>
<tr>
<td>AALL386</td>
<td></td>
<td>Release of Liability Documentation</td>
<td>AC + 4</td>
<td></td>
<td>AC = End of activity, event, or program for which the waiver or release is issued; Use UHS070 for consent forms for medical treatment provided by the university. CAUTION: If an incident occurs, liability waiver forms and documentation must be retained for the same period as accident forms.</td>
</tr>
</tbody>
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<tr>
<td>AALL392</td>
<td>Student Certification Records - Academic-- Includes certificate programs offered by</td>
<td>AC + 5</td>
<td></td>
<td>AC = Graduation or date of last attendance; Refer to AALL393 for student professional certification records. Caution: Transcript notes regarding academic certification awarded are maintained permanently by the Registrar.</td>
</tr>
<tr>
<td></td>
<td>university academic programs</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>AALL393</td>
<td>Student Professional Certification Records - May include: applications for admission</td>
<td>AC + 1</td>
<td></td>
<td>AC = End of certification period. This series documents the preparation of students earning degrees and/or certification for licenses or certificates to enter a profession and forms the basis of the initial certification by external entities for various professions. CAUTION: Accrediting agencies may require longer retention periods for professional certification records. Refer to accrediting agency to determine the term of the certification period.</td>
</tr>
<tr>
<td></td>
<td>to a program; registration for practicum hours and evidence of the completion of the</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>practicum; transcripts; narrative evaluations on practicum; notice of completion of</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>hours required for certification; recommendations and evaluations; and related</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>correspondence.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>AALL394</td>
<td>Professional Accreditation Files - This series documents the accreditation process for</td>
<td>PM</td>
<td></td>
<td>AC =  After accreditation review completed or accreditation is granted; must comply with all regulating agency retention requirements</td>
</tr>
<tr>
<td></td>
<td>the colleges, units, and related programs. It may include but is not limited to: self‐</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>evaluation reports; final reports sent to accreditation organization; accreditation</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>organization evaluation report; and related documentation and correspondence.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>AALL395</td>
<td>Professional Accreditation Files - Working Files</td>
<td>PM</td>
<td></td>
<td>AC = After accreditation review completed or accreditation is granted; must comply with all regulating agency retention requirements</td>
</tr>
<tr>
<td>AALL397</td>
<td>Degree Audit Requirements - Student</td>
<td>AC + 5</td>
<td></td>
<td>AC = Graduation or date of last attendance; Refer to REG398 for administrative retention</td>
</tr>
<tr>
<td>AALL396</td>
<td>Faculty and Graduate Student Professional Development Grant Records</td>
<td>AC + 5</td>
<td></td>
<td>AC = Funds granted; this series is for criteria-based grants, e.g. Faculty Travel Grants; use AALL398 and AALL399 for selection-based grants and fellowships; refer to AALL279 to manage payment documentation</td>
</tr>
<tr>
<td>AALL398</td>
<td>Fellowship/Scholarship Selection Records for those not selected</td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>AALL399</td>
<td>Fellowship/Scholarship Award Records – Records for recipients of fellowships and</td>
<td>AC + 5</td>
<td></td>
<td>AC = Graduation or date of last attendance; Refer also to AALL234, for records related to awards for faculty, staff, or students and to AALL236 for management of administrative and payment documentation.</td>
</tr>
<tr>
<td></td>
<td>scholarships.</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>AALL400</td>
<td></td>
<td>Tuition Rebate and Supporting Documentation</td>
<td>AC + 5</td>
<td></td>
<td>AC = Graduation or last semester enrolled</td>
</tr>
<tr>
<td>AALL403</td>
<td></td>
<td>Waiver Forms for Student Tuition Bills</td>
<td>AC + 3</td>
<td></td>
<td>AC = Until terminated</td>
</tr>
<tr>
<td>AALL404</td>
<td></td>
<td>Student Recruitment Records - Records may include but are not limited to: prospects lists; interview and conversation notes; photographs; personal information forms and resumes; test scores; academic transcripts; advertisement tearsheets, direct mail pieces, promotional literature, and similar material used to recruit students.</td>
<td>3</td>
<td></td>
<td>CAUTION: Does not include records of recruitment of athletes to intercollegiate athletics program, refer to ICA010</td>
</tr>
<tr>
<td>AALL406</td>
<td></td>
<td>Student Housing Contracts Records - record of occupancy in university administered housing -- residence halls, family housing, and cooperative housing. Includes housing applications and contracts; proof of admission records; and related documentation and correspondence.</td>
<td>AC + 4</td>
<td></td>
<td>AC = Expiration of contract; refer to AALL407 for application forms that do not result in occupancy of university student housing</td>
</tr>
<tr>
<td>AALL407</td>
<td></td>
<td>Applications for University Student Housing that Do Not Result in Occupancy</td>
<td>AC + 1</td>
<td></td>
<td>AC = End of application term</td>
</tr>
<tr>
<td>AALL408</td>
<td></td>
<td>Official Course Instructor Surveys (CIS)</td>
<td>10</td>
<td></td>
<td>Note 2</td>
</tr>
<tr>
<td>AALL409</td>
<td></td>
<td>Lectures and Lecture Series - special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: information on funding; financial support and honoraria records; patron information; information on catering arrangements; and related documentation and correspondence.</td>
<td>5</td>
<td>O</td>
<td>Refer to AALL425 for university event records.</td>
</tr>
<tr>
<td>AALL423</td>
<td></td>
<td>Graduate Admission Figures by Department</td>
<td>AC + 5</td>
<td></td>
<td>AC = Close of semester; Final report retained by graduate studies</td>
</tr>
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<tr>
<td>AALL425</td>
<td>UT</td>
<td>UT Sponsored Conference, Orientation and Event records-Includes registration records, associated files and promotional materials</td>
<td>AC + 4</td>
<td>0</td>
<td>AC = After completion of event or session</td>
</tr>
<tr>
<td>AALL426</td>
<td>AALL</td>
<td>Child and Youth Participation Records for UT Sponsored Camps and Programs- may include: applications; enrollment records; progress reports and assessments; immunization records; parental consent forms; activity records; lists of attendees; and related correspondence.</td>
<td>5</td>
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<td></td>
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<tr>
<td>4.1.001</td>
<td>AALL435</td>
<td>Accounts Payable Information</td>
<td>FE + 3</td>
<td></td>
<td>Notes 1, 3; Departments must maintain any original backup that is required but not submitted for imaging to Financial Affairs; See codes AALL545, AALL552, AALL595, and ACC563 for further retention requirements when applicable</td>
</tr>
<tr>
<td>4.1.002</td>
<td>AALL436</td>
<td>Accounts Payable Vouchers, Billing detail</td>
<td>FE + 3</td>
<td></td>
<td>Notes 1, 3; Departments must maintain any original backup that is required but not submitted for imaging to Financial Affairs; See codes AALL545, AALL552, AALL595, and ACC563 for further retention requirements when applicable</td>
</tr>
<tr>
<td>4.1.003</td>
<td>AALL441</td>
<td>Cancelled Checks/ Stubs / Warrants/ Drafts</td>
<td>FE + 3</td>
<td></td>
<td>Note 1; use for merchandise</td>
</tr>
<tr>
<td>4.1.004</td>
<td>AALL443</td>
<td>Encumbrance Detail</td>
<td>FE + 3</td>
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<td>4.1.005</td>
<td>AALL446</td>
<td>Inventory and Cost Files</td>
<td>FE + 3</td>
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<td></td>
</tr>
<tr>
<td>4.1.006</td>
<td>AALL447</td>
<td>Investment Transaction Files</td>
<td>FE + 3</td>
<td></td>
<td></td>
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<tr>
<td>4.1.007</td>
<td>AALL451</td>
<td>Interdepartmental Transfers</td>
<td>FE + 3</td>
<td></td>
<td>Notes 1 and 3; Departments must maintain any original backup that is required but not submitted for imaging to Financial Affairs; See codes AALL545, AALL552, AALL595, and ACC563 for further retention requirements when applicable</td>
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<td>4.1.007</td>
<td>AALL452</td>
<td>Cash Transfer Sheets</td>
<td>FE + 3</td>
<td></td>
<td>Note 1</td>
</tr>
<tr>
<td>4.1.008</td>
<td>AALL453</td>
<td>Electronic Fund Transfers</td>
<td>FE + 3</td>
<td></td>
<td>Direct deposit registers</td>
</tr>
<tr>
<td>AALL454</td>
<td></td>
<td>Detail-Credit Card Transaction-Includes credit card slip cover, electronic logs and other</td>
<td>FE + 3</td>
<td></td>
<td>Note 1</td>
</tr>
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<tr>
<td>PM</td>
<td>Permanent</td>
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<tr>
<td>US</td>
<td>Until Superseded</td>
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**Archival Codes**

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>I</td>
<td>Transfer to Archives</td>
</tr>
<tr>
<td>O</td>
<td>Review by Archivist</td>
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</table>

**7th Recertification**
# The University of Texas at Austin Records Retention Schedule

<table>
<thead>
<tr>
<th>State Item</th>
<th>UT Code</th>
<th>Record Series Title</th>
<th>Retention</th>
<th>Archival</th>
<th>Comments</th>
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<tbody>
<tr>
<td>4.2.001</td>
<td>AALL455</td>
<td>Departmental Deposit Vouchers</td>
<td>FE + 3</td>
<td></td>
<td>Notes 1, 3; Departments must maintain any original backup that is required but not submitted for imaging to Financial Affairs</td>
</tr>
<tr>
<td>4.2.001</td>
<td>AALL457</td>
<td>Documentation for Overrings, Refunds, Discounts &amp; Complimentary Sales</td>
<td>FE + 3</td>
<td></td>
<td>Note 1</td>
</tr>
<tr>
<td>4.2.002</td>
<td>AALL459</td>
<td>Cash Receipts and Related Records</td>
<td>FE + 3</td>
<td></td>
<td>Note 1</td>
</tr>
<tr>
<td>4.2.003</td>
<td>AALL462</td>
<td>Cash / Check Receipt Logs</td>
<td>FE + 3</td>
<td></td>
<td>Note 1</td>
</tr>
<tr>
<td>4.2.004</td>
<td>AALL464</td>
<td>Encumbrance Vouchers-Includes VPS</td>
<td>FE + 3</td>
<td></td>
<td>Notes 1 and 3; Departments must maintain any original backup that is required but not submitted for imaging to Financial Affairs</td>
</tr>
<tr>
<td>4.2.005</td>
<td>AALL467</td>
<td>Purchase Vouchers-Includes: Requisitions, Receiving Reports, Invoices, or Statements, Change Orders, Best Value Determinations, etc.</td>
<td>FE + 3</td>
<td></td>
<td>Notes 1 and 3; Departments must maintain any original backup that is required but not submitted for imaging to Financial Affairs; See codes AALL545, AALL552, AALL595, and ACC563 for further retention requirements when applicable.</td>
</tr>
<tr>
<td>4.2.006</td>
<td>AALL470</td>
<td>Procurement Card (Procard) and Office Depot Vouchers and Documentation</td>
<td>FE + 3</td>
<td></td>
<td>Notes 1 and 3; Departments must maintain any original backup that is required but not submitted for imaging to Financial Affairs; See codes AALL545, AALL552, AALL595, and ACC563 for further retention requirements when applicable.</td>
</tr>
<tr>
<td>4.2.007</td>
<td>AALL472</td>
<td>General Journal Vouchers</td>
<td>FE + 3</td>
<td></td>
<td>Includes transfer and budget documents; Notes 1 and 3; Departments must maintain any original backup that is required but not submitted for imaging to Financial Affairs</td>
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<tr>
<td>4.2.007</td>
<td>AALL473</td>
<td>Electronic Transfers Documentation</td>
<td>FE + 3</td>
<td></td>
<td>Includes Automated Clearinghouse (ACH), Electronic Funds Transfer (EFT), &amp; wire transfers</td>
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<tr>
<td>4.2.007</td>
<td>AALL474</td>
<td>Authorization for Professional Services</td>
<td>FE + 3</td>
<td></td>
<td>Honorariums, employee &amp; non-employee</td>
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<tr>
<td>4.2.008</td>
<td>AALL476</td>
<td>Expenditure Vouchers-Includes Travel, Payroll, and other Payment Vouchers</td>
<td>FE + 3</td>
<td></td>
<td>Notes 1 and 3; Departments must maintain any original backup that is required but not submitted for imaging to Financial Affairs; See codes AALL545, AALL552, AALL595, and ACC563 for further retention requirements when applicable.</td>
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<tr>
<td>4.3.001</td>
<td>AALL479</td>
<td>Sales Journals or Registers</td>
<td>FE + 3</td>
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<td>Note 1</td>
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<tr>
<td>4.3.001</td>
<td>AALL482</td>
<td>Receipts Journals or Registers</td>
<td>FE + 3</td>
<td></td>
<td>Note 1</td>
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<tr>
<td>4.3.002</td>
<td>AALL484</td>
<td>Check Registers</td>
<td>FE + 3</td>
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<td>Note 1</td>
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<tr>
<td>4.4.002</td>
<td>AALL490</td>
<td>Accounts Receivable Ledgers</td>
<td>FE + 3</td>
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<td>Note 1</td>
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<tr>
<td>4.4.003</td>
<td>AALL493</td>
<td>Accounts Payable Ledgers</td>
<td>FE + 3</td>
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<td>Note 1</td>
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</tbody>
</table>

**Retention Codes**
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7th Recertification
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<tbody>
<tr>
<td>4.5.001</td>
<td>AALL504</td>
<td>Worksheets for Preparing Fiscal Records</td>
<td>FE + 3</td>
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<td>Note 1</td>
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<tr>
<td>4.5.002</td>
<td>AALL506</td>
<td>Internal Fiscal Management Reports - Includes departmental annual reports and budgets</td>
<td>FE + 3</td>
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<td>Notes 1, 2</td>
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<tr>
<td>4.5.002</td>
<td>AALL507</td>
<td>Sales Trends and Variances Analyses</td>
<td>FE + 3</td>
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<td>Note 1</td>
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<tr>
<td>4.5.005</td>
<td>AALL512</td>
<td>External Fiscal Reports</td>
<td>FE + 3</td>
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<td>Note 1</td>
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<tr>
<td>4.5.002</td>
<td>AALL521</td>
<td>Departmental Budgets and Budget Workpapers</td>
<td>FE + 3</td>
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<td>Note 1</td>
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<tr>
<td>4.6.001</td>
<td>AALL524</td>
<td>Balancing Records</td>
<td>FE + 3</td>
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<td>Note 1</td>
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<tr>
<td>4.5.002</td>
<td>AALL525</td>
<td>Ticket Sales and Event Cash Reconciliation Records--Includes printing, selling, distribution, and accounting of tickets for university-sponsored athletic, performing arts, and other events.</td>
<td>FE + 5</td>
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<tr>
<td>4.6.001</td>
<td>AALL526</td>
<td>Deadwood &amp; Unsold Ticket Stock</td>
<td>FE + 3</td>
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<td>Note 1</td>
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<tr>
<td>4.6.002</td>
<td>AALL533</td>
<td>Reconciliations</td>
<td>FE + 3</td>
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<td>Note 1</td>
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<tr>
<td>4.6.003</td>
<td>AALL535</td>
<td>Petty Cash Records on Petty Cash Funds Including Approvals</td>
<td>FE + 3</td>
<td></td>
<td>Note 1</td>
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<tr>
<td>4.5.002</td>
<td>AALL538</td>
<td>Signed Statement of Accounts</td>
<td>FE + 3</td>
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<td>Note 1</td>
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<tr>
<td>4.7.001</td>
<td>AALL540</td>
<td>Accounting Policies and Procedures Manual - Handbook of Business Procedures (HBP)</td>
<td>US + 3</td>
<td>O</td>
<td>Note 1</td>
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<tr>
<td>4.7.002</td>
<td>AALL542</td>
<td>Bank Statements</td>
<td>5</td>
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<td>Note 1</td>
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<tr>
<td>4.7.004</td>
<td>AALL545</td>
<td>Capital Asset Records</td>
<td>LA + 3</td>
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</tr>
</tbody>
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</thead>
<tbody>
<tr>
<td>4.7.008</td>
<td>AALL552</td>
<td>Contracts / Grants Master Files</td>
<td>AC + 7</td>
<td></td>
<td>AC = After completion of project &amp; audits; CAUTION: Retention requirements may vary depending on the specific federal funding agency. Departments must ensure that records are retained in accordance with the terms of the contract or grant; Note 1</td>
</tr>
<tr>
<td>5.1.001</td>
<td>AALL570</td>
<td>Contracts, Leases, Purchase Orders, Bids, and Other Agreements</td>
<td>AC + 4</td>
<td></td>
<td>AC = Fulfillment, expiration or termination of the instrument according to its terms; Note 3</td>
</tr>
<tr>
<td>5.1.003</td>
<td>AALL573</td>
<td>Delivery Reports</td>
<td>2</td>
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<tr>
<td>5.1.004</td>
<td>AALL575</td>
<td>Address and Telephone Listings</td>
<td>US</td>
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<tr>
<td>5.1.004</td>
<td>AALL576</td>
<td>Mailing Lists</td>
<td>US</td>
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<td>Note 1</td>
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<tr>
<td>5.1.005</td>
<td>AALL578</td>
<td>Postage Records</td>
<td>FE + 3</td>
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<tr>
<td>5.1.007</td>
<td>AALL579</td>
<td>Printing Job Tickets</td>
<td>AV</td>
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<tr>
<td>5.1.012</td>
<td>AALL583</td>
<td>Charge Schedules/Price Lists</td>
<td>US + 3</td>
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<tr>
<td>5.1.013</td>
<td>AALL584</td>
<td>Equipment Insurance Coverage Requests</td>
<td>FE + 3</td>
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<tr>
<td>5.1.014</td>
<td>AALL585</td>
<td>Insurance Policies (Equipment &amp; Vehicles)</td>
<td>AC + 4</td>
<td></td>
<td>AC = Expiration or termination of the policy according to its terms</td>
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<tr>
<td>5.1.015</td>
<td>AALL587</td>
<td>Office Procedures</td>
<td>US + 1</td>
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<td>5.1.017</td>
<td>AALL589</td>
<td>Correspondence Tracking Records</td>
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<tr>
<td>5.2.002</td>
<td>AALL590</td>
<td>Contract Log - List of university contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.</td>
<td>FE + 3</td>
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<tr>
<td>5.2.002</td>
<td>AALL595</td>
<td>Building Construction Project Files</td>
<td>AC+10</td>
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<td>AC = After completion of project; Note 2</td>
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<tr>
<td>5.2.028</td>
<td>AALL596</td>
<td>Building Construction Contract and Inspection Records</td>
<td>LA + 10</td>
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<tr>
<td>5.2.001</td>
<td>AALL597</td>
<td>Surveys - Building &amp; Property</td>
<td>AV</td>
<td>O</td>
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<tr>
<td>5.2.003</td>
<td>AALL598</td>
<td>University Owned Building Plans and Specifications</td>
<td>LA</td>
<td>O</td>
<td>Note 2</td>
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<tr>
<td>5.2.003</td>
<td>AALL599</td>
<td>Leased Building Plans and Speciation</td>
<td>AC + 2</td>
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<td>AC = Termination of lease</td>
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<tr>
<td>5.2.027</td>
<td>AALL601</td>
<td>Space Utilization Reports</td>
<td>AV</td>
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<tr>
<td>5.2.004</td>
<td>AALL602</td>
<td>Building Space Requests</td>
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</tbody>
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<tr>
<td>5.2.005</td>
<td>AALL604</td>
<td>Calibration Records (Equipment or Instrument)</td>
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<td>5.2.006</td>
<td>AALL605</td>
<td>Certificates of Property Destruction</td>
<td>10</td>
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<tr>
<td>5.2.007</td>
<td>AALL606</td>
<td>Damage Reports - Reports of damage to state property.</td>
<td>FE + 3</td>
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<tr>
<td>5.2.008</td>
<td>AALL608</td>
<td>Equipment History File</td>
<td>LA + 3</td>
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<td>Note 1</td>
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<tr>
<td>5.1.011</td>
<td>AALL611</td>
<td>Equipment Use - Logs, Reports, and Check-Out Cards</td>
<td>AV</td>
<td></td>
<td>Use AALL716 for vehicle repair records and AALL720 for vehicle use records</td>
</tr>
<tr>
<td>5.2.010</td>
<td>AALL614</td>
<td>Equipment Manuals</td>
<td>LA</td>
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<tr>
<td>5.2.011</td>
<td>AALL616</td>
<td>Equipment Warranties</td>
<td>AC + 1</td>
<td></td>
<td>AC = Expiration of warranty</td>
</tr>
<tr>
<td>5.2.012</td>
<td>AALL617</td>
<td>Estimate Files (Supply and Repair Cost Estimates)</td>
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<tr>
<td>5.2.014</td>
<td>AALL618</td>
<td>Inventory - Annual Reports and Other Records</td>
<td>FE + 3</td>
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<tr>
<td>5.2.019</td>
<td>AALL633</td>
<td>Service Orders and Related Records</td>
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<tr>
<td>5.2.019</td>
<td>AALL635</td>
<td>Work Orders</td>
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<tr>
<td>5.2.020</td>
<td>AALL639</td>
<td>Supply Usage Records</td>
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<tr>
<td>5.2.021</td>
<td>AALL642</td>
<td>Surplus Property Sale Reports</td>
<td>FE + 3</td>
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<td>Includes Lost &amp; Found Auction; Note 1</td>
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<tr>
<td>5.2.022</td>
<td>AALL645</td>
<td>Utility Reports</td>
<td>AV</td>
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<tr>
<td>5.2.026</td>
<td>AALL650</td>
<td>Facility Use Records, Request Forms, and Logs</td>
<td>2</td>
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<td>Includes classroom registration lists</td>
</tr>
<tr>
<td>5.3.002</td>
<td>AALL653</td>
<td>Freight Bills-paid</td>
<td>FE + 3</td>
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<tr>
<td>5.3.004</td>
<td>AALL655</td>
<td>Order Acknowledgments</td>
<td>AV</td>
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<tr>
<td>5.3.005</td>
<td>AALL657</td>
<td>Packing Slips</td>
<td>AV</td>
<td></td>
<td>Notes 1, 3; Departments must maintain any original backup that is required but not submitted for imaging to Financial Affairs; See codes AALL545, AALL552, AALL595, and ACC563 for further retention requirements when applicable. Use ALL470 for Procurement Card (Procard) and Office Depot Purchases</td>
</tr>
<tr>
<td>5.3.008</td>
<td>AALL661</td>
<td>Purchasing Logs</td>
<td>FE + 3</td>
<td></td>
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</tr>
</tbody>
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<tr>
<td>5.3.009</td>
<td>AALL664</td>
<td>Request for Purchasing Information</td>
<td>AC</td>
<td>AC</td>
<td>AC = Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable</td>
</tr>
<tr>
<td>5.4.001</td>
<td>AALL667</td>
<td>Accident Reports and Associated Documentation</td>
<td>CE + 5</td>
<td>US</td>
<td>Refer to HR667 and UPD789 for other incident report retention requirements; 29 CFR 1904.33</td>
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<td>5.4.002</td>
<td>AALL670</td>
<td>Evacuation Plans</td>
<td>US</td>
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<td>5.4.003</td>
<td>AALL672</td>
<td>Safety Inspections</td>
<td>AC + 3</td>
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<td>AC = Date of correction of deficiency, if revealed in report</td>
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<tr>
<td>5.4.003</td>
<td>AALL673</td>
<td>Facility and Equipment Inspection Records</td>
<td>AC + 3</td>
<td></td>
<td>AC = Date of correction of deficiency, if revealed in report</td>
</tr>
<tr>
<td>5.4.007</td>
<td>AALL674</td>
<td>Fire Inspection Reports/Orders</td>
<td>AC + 3</td>
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<td>AC = Date of correction of deficiency, if revealed in report</td>
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<tr>
<td>5.4.007</td>
<td>AALL682</td>
<td>Safety Training</td>
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<td>Health and Safety Code 502.009(g)</td>
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<tr>
<td>5.4.007</td>
<td>AALL683</td>
<td>Hazardous Materials Training Records</td>
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<td>Health and Safety Code 502.009(g)</td>
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<td>5.4.009</td>
<td>AALL688</td>
<td>Workplace Chemical Lists</td>
<td>30</td>
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<td>Note 2; Health and Safety Code 502.009(d)</td>
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<tr>
<td>5.4.010</td>
<td>AALL694</td>
<td>Material Safety Data Sheets</td>
<td>AC</td>
<td></td>
<td>AC = After sheets are updated or hazardous chemicals no longer stored by UT</td>
</tr>
<tr>
<td>5.4.011</td>
<td>AALL698</td>
<td>Visitor and Access Control Logs</td>
<td>3</td>
<td></td>
<td>Logs, registers, or similar records documenting visitors or access to limited access or restricted university collections, facilities, or systems. Include surveillance video. For surveillance video not used solely for visitor control refer to AALL699. Visitor sign-in books may have archival value.</td>
</tr>
<tr>
<td>5.4.012</td>
<td>AALL699</td>
<td>Surveillance and Safety Monitoring Recordings -- video and digital files and associated documentation</td>
<td>AV</td>
<td></td>
<td>Departments must establish and document consistent retention practices refer to HOP 8-11520. Contact Records Management Services for further assistance; State of Texas Local Schedule PS4050-06.</td>
</tr>
<tr>
<td>5.4.012</td>
<td>AALL700</td>
<td>Security Access Records</td>
<td>AC + 2</td>
<td></td>
<td>AC = Until superseded, date of expiration, or date of termination, whichever is sooner</td>
</tr>
<tr>
<td>5.4.012</td>
<td>AALL701</td>
<td>Security Access Records-Master Key assignments</td>
<td>PM</td>
<td></td>
<td>Departments should develop retention plan for department copies of key requests/assignments but should plan to retain them for at least 3 years after issuance; master record retained by Locks and Keys division of Facilities Services</td>
</tr>
<tr>
<td>5.4.013</td>
<td>AALL704</td>
<td>Disaster Preparedness and Recovery Plans</td>
<td>US</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.4.013</td>
<td>AALL705</td>
<td>Emergency Status Updates- Includes emergency log entries released by web, texts, or other media to notify and direct students, faculty, and staff</td>
<td>US + 5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.5.001</td>
<td>AALL706</td>
<td>Billing Detail- Telecommunications</td>
<td>FE + 3</td>
<td></td>
<td>Note 1</td>
</tr>
</tbody>
</table>

### Retention Codes
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### Archival Codes
- 7th Recertification
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</thead>
<tbody>
<tr>
<td>5.5.002</td>
<td>AALL708</td>
<td>Long Distance Telephone Logs, Facsimile (Fax) Transmissions, and other Electronic Transfers</td>
<td>AV</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.5.003</td>
<td>AALL712</td>
<td>Telephone Messages / Telephone Activity Listings</td>
<td>AV</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.6.003</td>
<td>AALL716</td>
<td>Vehicle Inspection, Repair, &amp; Maintenance Records</td>
<td>LA + 1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.6.003</td>
<td>AALL717</td>
<td>Vehicle Disposition Logs</td>
<td>LA + 3</td>
<td>Records of vehicle sold or transferred</td>
<td></td>
</tr>
<tr>
<td>5.6.004</td>
<td>AALL720</td>
<td>Vehicle Use Report-includes mileage reports and other related operational activity</td>
<td>FE + 3</td>
<td>Note 1</td>
<td></td>
</tr>
<tr>
<td>5.6.004</td>
<td>AALL723</td>
<td>License and Driving Records Check</td>
<td>US + AC + 5</td>
<td>AC = Until termination of employment; Upon termination final report is to be printed and retained in driver’s employee folder for 5 year retention period.</td>
<td></td>
</tr>
<tr>
<td>5.6.007</td>
<td>AALL724</td>
<td>Vehicle Title and Registration</td>
<td>LA</td>
<td></td>
<td></td>
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<tr>
<td>AALL789</td>
<td></td>
<td>Minor Incident Reports not Investigated by University Police Department</td>
<td>AC + 1</td>
<td>AC = After investigated by department and closed</td>
<td></td>
</tr>
<tr>
<td>AALL790</td>
<td></td>
<td>Clery Reports</td>
<td>AC + 7</td>
<td>AC = Publication of report; 34 CFR § 668.46; 20 USC §1092(f)</td>
<td></td>
</tr>
<tr>
<td>AALL802</td>
<td></td>
<td>Research Reports to Regulating Agencies</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>AALL804</td>
<td></td>
<td>Transportation of Hazardous Materials (other than Hazardous Waste)</td>
<td>AC + 2</td>
<td>CAUTION: Shipping papers for hazardous waste must be retained for 3 years after acceptance by carrier; Refer to AALL805</td>
<td></td>
</tr>
<tr>
<td>AALL805</td>
<td></td>
<td>Transportation of Hazardous Waste</td>
<td>AC + 3</td>
<td>AC = Hazardous Waste accepted by initial carrier; 49 CFR 172.201(e)</td>
<td></td>
</tr>
<tr>
<td>1.1.008</td>
<td>ACC027</td>
<td>Requests for New Accounts</td>
<td>FE + 3</td>
<td></td>
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</tr>
<tr>
<td>4.7.007</td>
<td>ACC028</td>
<td>Detailed Charts of Accounts-One for all accounts in use for a fiscal year</td>
<td>FE + 3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.7.005</td>
<td>ACC067</td>
<td>Insurance Reports and Documentation</td>
<td>AC + 3</td>
<td>AC = Resolution of claim</td>
<td></td>
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<tr>
<td>1.2.005</td>
<td>ACC110</td>
<td>Records Retention Schedule - Agency Copy</td>
<td>US</td>
<td></td>
<td>For institutional requests to the Texas State Library and Archives Commission.</td>
</tr>
<tr>
<td>1.2.008</td>
<td>ACC114</td>
<td>Request for Authorization to dispose of records</td>
<td>FE + 3</td>
<td></td>
<td>Note 2</td>
</tr>
<tr>
<td>1.2.010</td>
<td>ACC116</td>
<td>Records Disposition Log</td>
<td>10</td>
<td></td>
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<tr>
<td>1.2.011</td>
<td>ACC118</td>
<td>State Library Records Center Storage Forms</td>
<td>US</td>
<td>RMD106 –agency copy</td>
<td></td>
</tr>
</tbody>
</table>

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7th Recertification
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</thead>
<tbody>
<tr>
<td>ACC340</td>
<td>Tuition and Fee Charges</td>
<td>AC + 5</td>
<td>AC = After graduation or last date attended</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ACC341</td>
<td>Financial Aid Documents</td>
<td>AC + 5</td>
<td>AC = Department of Education (DOE) acceptance of annual report</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ACC343</td>
<td>National Direct Student Loan (NDSL) Student Loan Records</td>
<td>AC + 3</td>
<td>AC = Loan paid in full; 34 CFR 668.24(d)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ACC344</td>
<td>Institutional Student Loans</td>
<td>AC + 3</td>
<td>AC = Loan paid in full; Texas Local Schedule JC3750-01a (8)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ACC360</td>
<td>Student Records - Relevant Correspondence</td>
<td>AC + 5</td>
<td>AC = After graduation or date of last attendance</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.1.002</td>
<td>Automated Financial Data Files</td>
<td>AC</td>
<td>AC = When supported records have met retention requirements; Refer also to AALL164</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.2.001</td>
<td>ACC460 Cash Receipt and Cash Deposit Vouchers</td>
<td>FE + 3</td>
<td>Departments use AALL455; Notes 1 and 3</td>
<td></td>
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<tr>
<td>4.2.007</td>
<td>ACC475 Cash Advance Requests</td>
<td>FE + 3</td>
<td></td>
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<tr>
<td>4.3.003</td>
<td>ACC484 Expenditure Registers</td>
<td>FE + 3</td>
<td>Note 1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.4.001</td>
<td>ACC487 General and Subsidiary Ledgers</td>
<td>FE + 3</td>
<td>Note 1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.5.003</td>
<td>ACC510 Annual Financial Report</td>
<td>PM</td>
<td>Note 1, 2; Submitted to State Depository Program through UT System</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.5.005</td>
<td>ACC513 Unrelated Business Income Tax (UBIT) Workpapers</td>
<td>FE + 5</td>
<td></td>
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<tr>
<td>4.2.001</td>
<td>ACC537 Lock Box Payment</td>
<td>FE + 3</td>
<td>Note 1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.7.003</td>
<td>ACC544 Returned Check / Warrants / Drafts (Uncollectible)</td>
<td>AC</td>
<td>AC = Until paid; the returned check is retained permanently if never paid; if paid, the check is retained for 3 fiscal years from payment date - refer to AALL441; Supports student bar; Note 1, 2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.7.009</td>
<td>ACC546 Fixed Asset Logs</td>
<td>US + 3</td>
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<tr>
<td>4.7.005</td>
<td>ACC548 Miscellaneous Ex-Student Debt Files</td>
<td>AC + 3</td>
<td>AC = Until paid; Supports student services bar, Note 1, 2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.7.006</td>
<td>ACC550 State Comptroller Reports /Uniform Statewide Accounting System (USAS), Detailed Accounting Financial Reports (DAFRS)</td>
<td>FE + 3</td>
<td>Note 1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.7.008</td>
<td>ACC557 Indirect Cost Calculations (Contracts and grants)</td>
<td>AC + 3</td>
<td>AC = Submission date of the final expenditure report or, for awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report; satisfaction of Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (The Common Rule)</td>
<td></td>
<td></td>
</tr>
</tbody>
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</tr>
</thead>
<tbody>
<tr>
<td>4.7.010</td>
<td>ACC563</td>
<td>Long-Term Liability Records</td>
<td>AC + 3</td>
<td></td>
<td>AC = Termination of Liability; Note 1, 3</td>
</tr>
<tr>
<td>4.7.012</td>
<td>ACC565</td>
<td>Authorization for Signature Authority</td>
<td>US + FE + 3</td>
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<td></td>
</tr>
<tr>
<td>5.2.009</td>
<td>ACC629</td>
<td>Inventory Reports, Files, and Other Records</td>
<td>FE + 3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.2.008</td>
<td>ACC709</td>
<td>Direct Deposit Authorizations</td>
<td>AC + 3</td>
<td></td>
<td>AC = After last payment</td>
</tr>
<tr>
<td>ADM312</td>
<td></td>
<td>Application for Admission and Supplemental Materials for Applicants Who Do Not Enter -</td>
<td>AC + 1</td>
<td></td>
<td>AC = After application term</td>
</tr>
<tr>
<td>ADM322</td>
<td></td>
<td>Application Materials for All Applicants</td>
<td>AC + 11</td>
<td></td>
<td>AC = After application term; Full retention formula- 1 year active retention plus 10 years of archival storage for a total retention of 11 years after application term</td>
</tr>
<tr>
<td>ADM323</td>
<td></td>
<td>Entrance Exam Reports – American College Testing (ACT), SAT</td>
<td>AC + 5</td>
<td></td>
<td>AC = Graduation or last semester enrolled</td>
</tr>
<tr>
<td>ADM395</td>
<td></td>
<td>Transfer Credit Evaluations</td>
<td>AC + 5</td>
<td></td>
<td>AC = Graduation date or date of last attendance</td>
</tr>
<tr>
<td>1.3.002</td>
<td></td>
<td>Publication Files-Fundraising Brochures</td>
<td>AV I</td>
<td></td>
<td>Subject to archival review by architecture library archivist</td>
</tr>
<tr>
<td>ATG154</td>
<td></td>
<td>Permanent Collection Records</td>
<td>PM</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ATG155</td>
<td></td>
<td>Artist Files</td>
<td>AV</td>
<td></td>
<td>CAUTION: Refer to AALL570 for artist contracts</td>
</tr>
<tr>
<td>ATG156</td>
<td></td>
<td>Loan Files (Art)</td>
<td>AC + 7</td>
<td></td>
<td>AC = Termination of the loan; artwork and materials returned</td>
</tr>
<tr>
<td>ATG157</td>
<td></td>
<td>Exhibition Records</td>
<td>PM O</td>
<td></td>
<td>Permanent for exhibit descriptions, renderings, layout diagrams, photographs of exhibit, lists of artifacts or items included, and publicity or advertising; 7 years for all other records</td>
</tr>
<tr>
<td>1.1.004</td>
<td>BUD012</td>
<td>Requests for Legislative Appropriations - workpapers</td>
<td>AC + 6</td>
<td></td>
<td>AC = Sept 1 of odd-numbered calendar years</td>
</tr>
<tr>
<td>1.1.004</td>
<td>BUD013</td>
<td>Requests for Legislative Appropriations (bound)</td>
<td>50 I</td>
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<td></td>
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<tr>
<td>4.5.006</td>
<td>BUD519</td>
<td>Annual Operating Budget (bound)</td>
<td>50 I</td>
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</tr>
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<tbody>
<tr>
<td>4.5.006</td>
<td>BUD520</td>
<td>Summer Session Budget</td>
<td>10</td>
<td></td>
<td>Discontinued - Records created prior to 2007 will be managed with this code; When no records in this series remain this series will be removed from the schedule</td>
</tr>
<tr>
<td>4.5.006</td>
<td>BUD522</td>
<td>Annual Operating Budget Requests - workpapers</td>
<td>10</td>
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<td>Note 2</td>
</tr>
<tr>
<td>4.5.002</td>
<td>BUD523</td>
<td>Departmental Budget Commitment Records</td>
<td>FE + 5</td>
<td></td>
<td>Note 2</td>
</tr>
<tr>
<td>4.5.002</td>
<td>BUD524</td>
<td>Budget Planning and Forecasting Records- reports and workpapers Tuition Policy Advisory Committee (TPAC)</td>
<td>FE + 5</td>
<td></td>
<td>Note 2</td>
</tr>
<tr>
<td>CAR336</td>
<td></td>
<td>Credentials Service Student Records</td>
<td>AC + 6</td>
<td></td>
<td>AC = From date file is opened</td>
</tr>
<tr>
<td>CAR371</td>
<td></td>
<td>Counseling Client Student Records</td>
<td>AC + 10</td>
<td></td>
<td>AC = After last attended session; Note 2</td>
</tr>
<tr>
<td>CEE233</td>
<td></td>
<td>Registration Forms-Continuing Education Programs</td>
<td>PM</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CEE234</td>
<td></td>
<td>Verification of Continuing Education Units Earned (CEU)</td>
<td>AC + 7</td>
<td></td>
<td>AC = Date CEU earned</td>
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<tr>
<td>CEE235</td>
<td></td>
<td>Training and Educational Achievement Records (Individual)</td>
<td>AC + 7</td>
<td></td>
<td>AC = Termination of employment; Includes General Education Development (GED) and basic education</td>
</tr>
<tr>
<td>CMH368</td>
<td></td>
<td>Client Records</td>
<td>AC + 7</td>
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<td>AC = Date of last consultation or visit; 22 TAC §681.41(q) and (r); 22 TAC §465.22 (d); 22 TAC §165.1(b)</td>
</tr>
<tr>
<td>CMH371</td>
<td></td>
<td>Telephone Counseling Services Daily Calls Records</td>
<td>AC + 7</td>
<td></td>
<td>AC = After last contact ; 22 TAC §681.41 (q) and (r); 22 TAC §465.22(d); 22 TAC §165.1(b)</td>
</tr>
<tr>
<td>CMH372</td>
<td></td>
<td>Medical Withdrawals (MWDs), Retroactive Medical Withdrawals (RMWDs), and Course Load Reductions (CLRs )</td>
<td>AC + 7</td>
<td></td>
<td>AC = Date of withdrawal; Note 2; 22 TAC §681.41 (q) and (r); 22 TAC §465.22(d); 22 TAC §165.1(b)</td>
</tr>
<tr>
<td>CMH373</td>
<td></td>
<td>Analysis of service-telephone counseling records</td>
<td>AC + 5</td>
<td></td>
<td>AC = After last contact</td>
</tr>
<tr>
<td>CTL391</td>
<td></td>
<td>Credit by Examination Records --Answer Sheets and Rosters</td>
<td>AC + 15</td>
<td></td>
<td>AC = Test date</td>
</tr>
<tr>
<td>CTL408</td>
<td></td>
<td>Official Course Instructor Surveys (CIS)</td>
<td>10</td>
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<td>Note 2</td>
</tr>
<tr>
<td>CTL427</td>
<td></td>
<td>Validity Studies</td>
<td>AC + 3</td>
<td></td>
<td>AC = Until present test is discontinued</td>
</tr>
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<tr>
<td>CTL428</td>
<td></td>
<td>Credit by Examination Records-Answer Sheets</td>
<td>AC + 1</td>
<td></td>
<td>AC = Test date for locally administered (on campus) exams</td>
</tr>
<tr>
<td>DSO021</td>
<td></td>
<td>New Organization Registration Paperwork</td>
<td>PM</td>
<td>I</td>
<td>For student organizations; Note 2</td>
</tr>
<tr>
<td>DSO022</td>
<td></td>
<td>Disciplinary Records for Student Organizations</td>
<td>AC + 5</td>
<td></td>
<td>AC = After fulfillment of penalty</td>
</tr>
<tr>
<td>1.1.070</td>
<td>DSO061</td>
<td>Student Government Constitution and By-Laws</td>
<td>PM</td>
<td>O</td>
<td>Note 2</td>
</tr>
<tr>
<td>1.1.070</td>
<td>DSO062</td>
<td>Senate of College Councils Constitution and By-Laws</td>
<td>PM</td>
<td>O</td>
<td>Note 2</td>
</tr>
<tr>
<td>1.1.048</td>
<td>DSO079</td>
<td>Student Legal Services Case Files</td>
<td>AC + 2</td>
<td>O</td>
<td>AC = Exhaustion of legal remedies</td>
</tr>
<tr>
<td>DSO086</td>
<td></td>
<td>Student Government Student Assembly Minutes</td>
<td>PM</td>
<td>O</td>
<td>Note 2</td>
</tr>
<tr>
<td>DSO377</td>
<td></td>
<td>Deceased Student Files</td>
<td>AC + 5</td>
<td></td>
<td>AC = Date of notification of death</td>
</tr>
<tr>
<td>DSO378</td>
<td></td>
<td>Records for Students with Disabilities</td>
<td>AC + 5</td>
<td></td>
<td>AC = After graduation or date of last attendance</td>
</tr>
<tr>
<td>DSO379</td>
<td></td>
<td>Student Disciplinary Records</td>
<td>AC + 6</td>
<td></td>
<td>AC = From date file is opened</td>
</tr>
<tr>
<td>DSO381</td>
<td></td>
<td>Student Disciplinary Records with Permanent Penalties</td>
<td>PM</td>
<td></td>
<td>Note 2</td>
</tr>
<tr>
<td>DSO407</td>
<td></td>
<td>Student Organization Legal Responsibilities Statements</td>
<td>AC + 5</td>
<td></td>
<td>AC = After close of the semester</td>
</tr>
<tr>
<td>DSO408</td>
<td></td>
<td>Student Incident Report</td>
<td>AC + 5</td>
<td></td>
<td>AC = After resolution of incident</td>
</tr>
<tr>
<td>2.1.002</td>
<td>DSO449</td>
<td>Investment Data Files</td>
<td>FE + 3</td>
<td></td>
<td>Note 1; Refer to AALL164 for further information on retaining data files</td>
</tr>
<tr>
<td>1.1.019</td>
<td>DUR039</td>
<td>Centennial Files</td>
<td>PM</td>
<td>I</td>
<td>Note 2</td>
</tr>
<tr>
<td>1.1.019</td>
<td>DUR041</td>
<td>Building Dedication Files</td>
<td>PM</td>
<td>I</td>
<td>Note 2</td>
</tr>
<tr>
<td>1.1.019</td>
<td>DUR043</td>
<td>Commencement Program/Files</td>
<td>PM</td>
<td>I</td>
<td>Note 2; Refer to RMUE001</td>
</tr>
<tr>
<td>DUR062</td>
<td></td>
<td>Dad’s Association Files</td>
<td>PM</td>
<td>I</td>
<td>Note 2</td>
</tr>
<tr>
<td>DUR063</td>
<td></td>
<td>Professional Association Files</td>
<td>7</td>
<td></td>
<td></td>
</tr>
<tr>
<td>DUR072</td>
<td></td>
<td>Gift Records - Institutional</td>
<td>PM</td>
<td>I</td>
<td>CAUTION: The name or other identifying information about a donor may be withheld from public disclosure under the Public Information Act. TGC § 552.1235.</td>
</tr>
<tr>
<td>1.1.019</td>
<td>DUR073</td>
<td>Special Events Files</td>
<td>PM</td>
<td>I</td>
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</tr>
</tbody>
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<tr>
<td></td>
<td>DUR074</td>
<td>Endowment files</td>
<td>PM</td>
<td></td>
<td>UT System maintains duplicate copy</td>
</tr>
<tr>
<td></td>
<td>DUR075</td>
<td>Planned giving files</td>
<td>PM</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.7</td>
<td>DUR076</td>
<td>Corporate and Foundation proposals</td>
<td>AC + 7</td>
<td></td>
<td>AC = Proposal submitted; Master record maintained in Office of Sponsored Projects</td>
</tr>
<tr>
<td></td>
<td>DUR077</td>
<td>Planned Gifts-Commitments</td>
<td>AC</td>
<td></td>
<td>AC = Gift is realized upon settlement of donor’s estate</td>
</tr>
<tr>
<td></td>
<td>DUR078</td>
<td>Planned Gifts-Estate Administration</td>
<td>AC + 3</td>
<td></td>
<td>AC = Receipt of full gift; UT System changes status to closed; UT System maintains original documents</td>
</tr>
<tr>
<td></td>
<td>EDO269</td>
<td>Faculty Information</td>
<td>AC + 5</td>
<td></td>
<td>AC = Termination of employment</td>
</tr>
<tr>
<td></td>
<td>EDO389</td>
<td>Student Teaching Applications</td>
<td>AC + 20</td>
<td></td>
<td>AC = Completion of assignment</td>
</tr>
<tr>
<td></td>
<td>EDO390</td>
<td>Student Teacher Evaluations</td>
<td>AC + 20</td>
<td></td>
<td>AC = Completion of assignment</td>
</tr>
<tr>
<td></td>
<td>EDO396</td>
<td>Teacher Certification</td>
<td>AC + 5</td>
<td></td>
<td>AC = After certification</td>
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<tr>
<td></td>
<td>EDO626</td>
<td>Personal Computer (PC) Removals from Campus Log</td>
<td>FE + 3</td>
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<tr>
<td>5.2.003</td>
<td>EHS597</td>
<td>Building History Files</td>
<td>LA</td>
<td>O</td>
<td>Note 2; Archival review required for university owned buildings only</td>
</tr>
<tr>
<td>5.4.009</td>
<td>EHS675</td>
<td>Asbestos Records</td>
<td>AC + 30</td>
<td></td>
<td>AC = completion of abatement or other project; for asbestos exposure incidents use HR667; TAC 295.62(a); Where both state and federal retention requirements apply, federal requirements take precedent</td>
</tr>
<tr>
<td>5.4</td>
<td>EHS679</td>
<td>Temporary Food Permits</td>
<td>AC + 3</td>
<td></td>
<td>AC = After expiration of permit</td>
</tr>
<tr>
<td>5.4</td>
<td>EHS680</td>
<td>Industrial Wastewater Discharge Permit</td>
<td>FE + 4</td>
<td></td>
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<tr>
<td>5.4.008</td>
<td>EHS686</td>
<td>Correspondence on Hazardous Waste</td>
<td>30</td>
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<tr>
<td>5.4.009</td>
<td>EHS689</td>
<td>Chemical Waste Disposal Request</td>
<td>30</td>
<td></td>
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<tr>
<td>5.4.009</td>
<td>EHS690</td>
<td>Weight Summary - Chemical Waste</td>
<td>30</td>
<td></td>
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<tr>
<td>5.4.009</td>
<td>EHS691</td>
<td>Hazardous Waste Manifests</td>
<td>PM</td>
<td></td>
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<tr>
<td></td>
<td>EHS692</td>
<td>Radiation Records</td>
<td>PM</td>
<td></td>
<td>Where both state and federal retention requirements apply, federal requirements take precedent</td>
</tr>
<tr>
<td></td>
<td>EIM016</td>
<td>General Educational Development (GED) Surveys, Reports</td>
<td>AC</td>
<td>O</td>
<td>AC = Survey/report completed and submitted; Must be destroyed in accordance with The American Council on Education GED Testing Center, Texas Education Agency GED Unit, and Arkansas Department of Career Education GED Administration Office guidelines</td>
</tr>
</tbody>
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<tbody>
<tr>
<td>EIM300</td>
<td></td>
<td>GED, Tests and Essays</td>
<td>AC + 3mo</td>
<td></td>
<td>AC = Scoring completed; Must be destroyed in accordance with The American Council on Education GED Testing Center, Texas Education Agency GED Unit, and Arkansas Department of Career Education GED Administration Office guidelines</td>
</tr>
<tr>
<td>EIM301</td>
<td></td>
<td>Program Enrollment Forms</td>
<td>AV</td>
<td></td>
<td></td>
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<tr>
<td>5.1.010</td>
<td>ENR580</td>
<td>Non-Vehicle License Records/Forms</td>
<td>PM</td>
<td></td>
<td>Note 2</td>
</tr>
<tr>
<td>5.2.019</td>
<td>ENR636</td>
<td>Work Orders-Machinist</td>
<td>AC + 3</td>
<td></td>
<td>AC = After work order is completed</td>
</tr>
<tr>
<td>5.4.010</td>
<td>ENR695</td>
<td>Special Nuclear Material Forms</td>
<td>PM</td>
<td></td>
<td>Note 2</td>
</tr>
<tr>
<td>7th Recertification</td>
<td></td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>3.3</td>
<td>EOS260</td>
<td>Affirmative Action Plans for Regular Employees</td>
<td>2</td>
<td></td>
<td>41 CFR 60-1.12(b)</td>
</tr>
<tr>
<td>3.3.031</td>
<td>EOS296</td>
<td>Equal Employment Opportunity (EEO) Reports</td>
<td>5</td>
<td></td>
<td>Includes 29 CFR 1602.30, 1602.32, 1602.39, 1602.41, 1602.48, 1602.50</td>
</tr>
<tr>
<td>3.3.031</td>
<td>EOS297</td>
<td>EEO Complaint Files</td>
<td>AC + 5</td>
<td></td>
<td>AC = Final decision regarding complaint; Includes 29 CFR 1602.30, 1602.32, 1602.39, 1602.41, 1602.48, 1602.50</td>
</tr>
<tr>
<td>1.1.023</td>
<td>EVP051</td>
<td>Professorships, Faculty, Chairs Organization chart</td>
<td>PM</td>
<td>I</td>
<td>Includes endowed positions; Note 2</td>
</tr>
<tr>
<td>3.1</td>
<td>EVP209</td>
<td>Faculty Files</td>
<td>AC + 15</td>
<td></td>
<td>AC = Conclusion of final appointment; Includes emeritus positions; Note 2</td>
</tr>
<tr>
<td>1.1.058</td>
<td>GFO085</td>
<td>Meeting Minutes – General Faculty, Faculty Senate, and University Council</td>
<td>PM</td>
<td>I</td>
<td>Audio tape transcripts &amp; unedited typescripts also kept; Note 2</td>
</tr>
<tr>
<td>1.1</td>
<td>GFO088</td>
<td>Election Ballots</td>
<td>2</td>
<td></td>
<td></td>
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<tr>
<td>1.1</td>
<td>GFO089</td>
<td>Election Tally Sheets</td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.1.018</td>
<td>GFO090</td>
<td>Faculty Grievance Committee Records</td>
<td>PM</td>
<td></td>
<td>Refer to University of Texas HOP 2-2310; The [Faculty Grievance Committee] chair shall be responsible for maintaining records on all grievances filed and their ultimate disposition. At the end of each year, copies of these records shall be forwarded to the Secretary of the General Faculty for appropriate maintenance. The chair shall, in addition, provide the president and the Faculty Council an annual report summarizing the Committee's work. Refer to AALL212 for retention of summary reports not on file in General Faculty Office (GFO).</td>
</tr>
<tr>
<td>3.1.018</td>
<td>GFO090</td>
<td>Faculty Memorials-Original files</td>
<td>PM</td>
<td></td>
<td>REFER TO UNIVERSITY OF TEXAS HOP 2-2310; The [Faculty Grievance Committee] chair shall be responsible for maintaining records on all grievances filed and their ultimate disposition. At the end of each year, copies of these records shall be forwarded to the Secretary of the General Faculty for appropriate maintenance. The chair shall, in addition, provide the president and the Faculty Council an annual report summarizing the Committee's work. Refer to AALL212 for retention of summary reports not on file in General Faculty Office (GFO).</td>
</tr>
<tr>
<td>3.1.018</td>
<td>GFO090</td>
<td>Faculty Memorials-Bound</td>
<td>PM</td>
<td></td>
<td>Bound book of tributes kept permanently by GFO.</td>
</tr>
</tbody>
</table>

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<tbody>
<tr>
<td>GS363</td>
<td></td>
<td>Graduate Student Files</td>
<td>AC + 50</td>
<td>I</td>
<td>AC = Graduation date; Note 2</td>
</tr>
<tr>
<td>GS400</td>
<td></td>
<td>Residency Affidavits and Documentation – Declarations filed by students regarding state residency status required to determine tuition status. Records may include but are not limited to: affidavits; correspondence regarding residency; and related documentation.</td>
<td>AC + 6</td>
<td></td>
<td>AC = After submission; TEC §54.052</td>
</tr>
<tr>
<td>GS423</td>
<td></td>
<td>Graduate Admission Figures by Department</td>
<td>PM</td>
<td></td>
<td>Note 2</td>
</tr>
<tr>
<td>GSB361</td>
<td></td>
<td>Undergraduate Student Files</td>
<td>AC + 5</td>
<td></td>
<td>AC = Graduation date or last date of attendance</td>
</tr>
<tr>
<td>GSB362</td>
<td></td>
<td>Graduate Student Files</td>
<td>AC + 5</td>
<td></td>
<td>AC = Graduation date or last date of attendance</td>
</tr>
<tr>
<td>GSB418</td>
<td></td>
<td>Bound Course Descriptions</td>
<td>FE + 5</td>
<td></td>
<td></td>
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<tr>
<td>HPO400</td>
<td></td>
<td>Evaluations for Students to Attach to Grad School Applications</td>
<td>AC + 3</td>
<td></td>
<td>AC = Graduation date or date of last attendance</td>
</tr>
<tr>
<td>3.1.006</td>
<td>HR191</td>
<td>Employee Assistance Program (EAP) Counseling Records</td>
<td>AC + 7</td>
<td></td>
<td>AC = Termination of employment or from termination of employed family member when family members are also counseled; 22 TAC §681.41(q) and (r), 22 TAC §465.22(d); 22 TAC §165.1(b); Note 2</td>
</tr>
<tr>
<td>3.1.011</td>
<td>HR192</td>
<td>Employee Retirement Program Records</td>
<td>AC + 10</td>
<td></td>
<td>AC = Termination of employment; Note 2</td>
</tr>
<tr>
<td>3.1.011</td>
<td>HR193</td>
<td>Employee Life Insurance Records</td>
<td>AC + 10</td>
<td></td>
<td>AC = Termination of employment; Note 2</td>
</tr>
<tr>
<td>3.1.011</td>
<td>HR194</td>
<td>Retiree Insurance Selection Records</td>
<td>AC + 10</td>
<td></td>
<td>AC = Signature date on document</td>
</tr>
<tr>
<td>3.1.011</td>
<td>HR195</td>
<td>Retiree Life Insurance Records</td>
<td>AC + 10</td>
<td></td>
<td>AC = Signature date on document</td>
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<tr>
<td>3.1.011</td>
<td>HR196</td>
<td>Employee Short Term Disability and Long Term Disability Claim Records</td>
<td>AC + 10</td>
<td></td>
<td>AC = Termination of employment</td>
</tr>
<tr>
<td>3.4.001</td>
<td>HR197</td>
<td>Employee Leave Records including Leave without Pay (LWOP)</td>
<td>FE + 3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.1.011</td>
<td>HR198</td>
<td>Employee Insurance Selection Records</td>
<td>AC</td>
<td></td>
<td>AC = Until superseded or termination of employment; CAUTION: records that serve as payroll deduction authorizations must be kept for AC + 4 where AC = Termination of employee or amendment, expiration or termination of the authorization—whichever is sooner(as required by state RRS item 3.2.001/AALL249); Note 2</td>
</tr>
<tr>
<td>3.1.012</td>
<td>HR200</td>
<td>Employment Advertisements</td>
<td>3</td>
<td></td>
<td>Note 5</td>
</tr>
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<tr>
<td>3.3.011</td>
<td>HR208</td>
<td>Individual Personnel Files</td>
<td>AC + 75</td>
<td></td>
<td>AC = Termination of employment; Legacy files retained in microforms for employment verification purposes; Refer also to HR267; back-up stored at TSLAC Records Center</td>
</tr>
<tr>
<td>3.1.022</td>
<td>HR220</td>
<td>Personnel Information or Action Forms</td>
<td>AC + 3</td>
<td></td>
<td>AC = After termination of employment; Official copy; CAUTION: Do not assign this code to a record that can be classified under another record series in the UTRRS; 29 CFR1602.49(a)</td>
</tr>
<tr>
<td>3.1.038</td>
<td>HR221</td>
<td>Public Access to Directory Information</td>
<td>US</td>
<td></td>
<td>Documents employee electing to keep home address and other information open or confidential under the Public Information Act, TGC 552.024</td>
</tr>
<tr>
<td>3.1</td>
<td>HR228</td>
<td>Drug Test Records - Includes records of negative and positive results, refusals to take required tests, and all records pertaining to administration of drug and alcohol testing</td>
<td>FE + 5</td>
<td></td>
<td>49 CFR §382.401</td>
</tr>
<tr>
<td>3.1.026</td>
<td>HR229</td>
<td>Background Report or Information Obtained from Third Party Agencies</td>
<td>AC</td>
<td></td>
<td>AC = The criminal history record has served the immediate purpose for which it was obtained; Includes reports from law enforcement agencies and background check vendors; TGC 411.094(e); Refer to University HOP 5-1140</td>
</tr>
<tr>
<td>HR231</td>
<td></td>
<td>Fair Credit Reporting Act Adverse Employment Action Notifications</td>
<td>AC + 5</td>
<td></td>
<td>AC = Date of hire decision; 15 U.S.C. § 1681b(b)(3)(A)(i), (ii); 15 USC § 1681p</td>
</tr>
<tr>
<td>3.1.027</td>
<td>HR232</td>
<td>Training Records-Individual Employees</td>
<td>AC + 5</td>
<td></td>
<td>AC = Termination of employment</td>
</tr>
<tr>
<td>3.1.029</td>
<td>HR238</td>
<td>Form (I-9); Employment Eligibility Verification</td>
<td>AC + 3</td>
<td></td>
<td>AC = After close of event</td>
</tr>
<tr>
<td>3.1.031</td>
<td>HR240</td>
<td>Employee Benefits- Other than Insurance</td>
<td>AC + 3</td>
<td></td>
<td>AC = Termination of employment</td>
</tr>
<tr>
<td>3.1</td>
<td>HR241</td>
<td>Orange Santa Program documentation</td>
<td>AC + 1</td>
<td></td>
<td>AC = After close of event</td>
</tr>
<tr>
<td>3.1.036</td>
<td>HR242</td>
<td>Apprenticeship Records</td>
<td>5</td>
<td></td>
<td>29 CFR 30.8(e)</td>
</tr>
<tr>
<td>3.2.009</td>
<td>HR257</td>
<td>Deferred Compensation</td>
<td>AC + 5</td>
<td></td>
<td>AC = Account totally distributed</td>
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<tr>
<td>3.3.004</td>
<td>HR261</td>
<td>Insurance-Benefits plans, group plans</td>
<td>US + 3</td>
<td></td>
<td>29 CFR 1627.3(b)(2) Merged with HR262</td>
</tr>
<tr>
<td>3.3.010</td>
<td>HR265</td>
<td>Labor Statistics Report</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.3.011</td>
<td>HR267</td>
<td>Former Employees Verification Files</td>
<td>AC + 75</td>
<td></td>
<td>AC = Termination of employment; Refer also to HR208; Note 2</td>
</tr>
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<tr>
<td>3.3</td>
<td>HR268</td>
<td>Verification of Employment Requests (VOE) - requests, verifications, and related documentation</td>
<td>AC + 1</td>
<td>AC = Request filled; Note 2</td>
<td></td>
</tr>
<tr>
<td>3.3</td>
<td>HR284</td>
<td>Job Audits</td>
<td>AC + 3</td>
<td>AC = Completion of audit</td>
<td></td>
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<tr>
<td>3.3.026</td>
<td>HR286</td>
<td>University Staffing Reports</td>
<td>US + 3</td>
<td>Note 1</td>
<td></td>
</tr>
<tr>
<td>3.3</td>
<td>HR287</td>
<td>Hiring Reports -Hiring Reports- Includes but not limited to collected data of number of applicants who self-identified as individuals with disabilities pursuant to 41 CFR §60-741.4, or who are otherwise known to be individuals with disabilities; applicants who self-identify as veterans; the total number of job openings and total number of jobs filled; the total number of applicants for all jobs; the number of applicants with disabilities hired; and the total number of applicants hired.</td>
<td>3</td>
<td>41 CFR §60-741.44 (k); 41 CFR 60-300.44(f); 41 CFR 60-300.44(f); 41 CFR 60-300.45; Refer also to AALL096 for non-fiscal reports</td>
<td></td>
</tr>
<tr>
<td>3.3</td>
<td>HR288</td>
<td>Federal Veteran Information Invitation to Self-Identify</td>
<td>AC + 2</td>
<td>AC = Date the record is made or the date of self-identification, whichever is later. CAUTION: In the case of involuntary termination the record must be retained for two years after termination; 41 CFR §60-300.42, §60-300.23(d)</td>
<td></td>
</tr>
<tr>
<td>3.3</td>
<td>HR289</td>
<td>Voluntary Self-Identification of Disability</td>
<td>AC + 2</td>
<td>AC = Date the record is made or the date of self-identification, whichever is later. CAUTION: In the case of involuntary termination the record must be retained for two years after termination; 41 CFR §60-300.42</td>
<td></td>
</tr>
<tr>
<td>3.3</td>
<td>HR290</td>
<td>Human Resource Program Records – Administration of wellness, professional or personal development, and other optional programs for university staff</td>
<td>5</td>
<td>Refer to AALL294 for training materials and HR232 for records for individual employees. Documentation for grant funded programs must be retained for the duration of the grant period and 4 years thereafter.</td>
<td></td>
</tr>
<tr>
<td>3.4.008</td>
<td>HR303</td>
<td>Sick Leave Pool Requests</td>
<td>AC + 5</td>
<td>AC = Termination of employment; Note 2</td>
<td></td>
</tr>
<tr>
<td>3.4.007</td>
<td>HR304</td>
<td>Family Medical Leave Act- Requests, documentation</td>
<td>AC + 5</td>
<td>AC = Termination of employment; Note 2</td>
<td></td>
</tr>
<tr>
<td>3.1</td>
<td>HR305</td>
<td>Telecommuting Agreement</td>
<td>AC + 5</td>
<td>AC = Termination of contract or end date of agreement</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Retention Codes</th>
<th>Archival Codes</th>
</tr>
</thead>
<tbody>
<tr>
<td>AC – After Closed, Terminated, Completed, Expired, Settled</td>
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<tr>
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</tr>
</thead>
<tbody>
<tr>
<td>5.4.001</td>
<td>HR666</td>
<td>Workers' Compensation Reports and Other Records</td>
<td>CE + 5</td>
<td></td>
<td>Texas Department of Insurance Retains copies 50 years; Use HR667 for exposure of an employee to airborne or bloodborne pathogens; 29 CFR 1904.33</td>
</tr>
<tr>
<td>5.4.001</td>
<td>HR667</td>
<td>Workers Compensation Reports Involving Exposure to Airborne or Bloodborne Pathogens</td>
<td>AC + 30</td>
<td></td>
<td>AC = Termination of employment; Use HR666 for Other Workers' Comp issues; 29 CFR 1910.1020(d)(1)(ii); Note 2</td>
</tr>
<tr>
<td>3.2.007</td>
<td>HR668</td>
<td>Unemployment Compensation records-Applications, Appeals, and Determination of Payment</td>
<td>AC + 5</td>
<td></td>
<td>AC = Final decision</td>
</tr>
<tr>
<td>5.4.011</td>
<td>HRH162</td>
<td>Readers' Application and Access Files</td>
<td>3</td>
<td>I</td>
<td>Note 2; Archival transfer is internal, materials remain in HHRHRC</td>
</tr>
<tr>
<td>1.1.002</td>
<td>IA004</td>
<td>Internal Audits - Workpapers and Reports</td>
<td>AC + 7</td>
<td></td>
<td>AC = Date of audit completion; Maintained by the Office of Internal Audits</td>
</tr>
<tr>
<td>1.1.024</td>
<td>IA005</td>
<td>Internal Audits - Audit Plans</td>
<td>AC + 7</td>
<td>O</td>
<td>AC = Date of audit completion; Maintained by Office of Internal Audits</td>
</tr>
<tr>
<td>ICA001</td>
<td></td>
<td>General Athletics Correspondence</td>
<td>4</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ICA002</td>
<td></td>
<td>Student-Athlete Records- Includes: Student-Athlete Statement; Student-Athlete Affirmation of Eligibility; Big 12 Participation reports/UT Competition reports; Student-Athlete Medical Records; Affidavit of Financial Aid; Housing; Employment; Amateurism; Consent forms-Drug consents, Buckley, etc.</td>
<td>AC + 6</td>
<td></td>
<td>AC = Last semester enrolled</td>
</tr>
<tr>
<td>ICA003</td>
<td></td>
<td>Student-Athlete Medical/Insurance Records</td>
<td>AC + 7</td>
<td></td>
<td>AC = Expiration or termination of policy; UT System retains 20 years; 29 CFR 1627.3(b)(2)</td>
</tr>
<tr>
<td>3.3.004</td>
<td>ICA004</td>
<td>Insurance Policies for Athletes</td>
<td>AC + 4</td>
<td></td>
<td>AC = Expiration or termination of policy; UT System retain 20 years; 29 CFR 1627.3(b)(2)</td>
</tr>
<tr>
<td>ICA005</td>
<td></td>
<td>Athletics Compliance Records- Includes National Collegiate Athletic Association (NCAA) reports, NCAA squad lists</td>
<td>7</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.5.005</td>
<td>ICA006</td>
<td>Annual Financial Report</td>
<td>FE + 6</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.5.002</td>
<td>ICA007</td>
<td>Annual Operating Budget</td>
<td>FE + 3</td>
<td></td>
<td></td>
</tr>
</tbody>
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</tr>
</thead>
<tbody>
<tr>
<td>ICA008</td>
<td></td>
<td>Student-Athlete Drug Testing Records</td>
<td>5</td>
<td></td>
<td>5 years or end of eligibility for positive test records (whichever is later); 2 years for negative test records</td>
</tr>
<tr>
<td>ICA010</td>
<td></td>
<td>Recruiting Records—Records document the 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 and conference rules and regulations. This series may include but is 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 (with By-Law 5-1-j forms, number 40-c); letters of intent; copies of admissions forms and materials; performance reports; telephone and conversation notes; mailing lists; and related documentation and correspondence.</td>
<td>AC + 5</td>
<td></td>
<td>AC = Graduation or last semester attended for students who accept; decision date for students who decline.</td>
</tr>
<tr>
<td>ICA011</td>
<td></td>
<td>Scheduling Records—Records document 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.</td>
<td>AC + 6</td>
<td></td>
<td>AC = Expiration of contract</td>
</tr>
<tr>
<td>ICA012</td>
<td></td>
<td>Sports Merchandising—Records document the sale of institutional and NCAA-licensed merchandise at sporting events. Records may include sales reports; merchandise comment sheets; and related correspondence.</td>
<td>4</td>
<td></td>
<td></td>
</tr>
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<tr>
<td>ICA013</td>
<td></td>
<td>Student Academic Advising-Records document 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, 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.</td>
<td>AC + 5</td>
<td></td>
<td>AC = Last semester attended</td>
</tr>
<tr>
<td>ICA014</td>
<td></td>
<td>Student Athlete Dining Records- Documentation of the meals consumed by student athletes as part of the training table. This series may include but is not limited to rosters with the names of athletes partaking of meals and absent from meals; menus; and related documentation and correspondence.</td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ICA015</td>
<td></td>
<td>Claims files-Records document 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; ledgers of providers, payment amounts, and reference numbers; and related documentation and correspondence.</td>
<td>AC + 5</td>
<td></td>
<td>AC = Claim settled</td>
</tr>
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<tr>
<td>ICA016</td>
<td></td>
<td>Catastrophic Injury Reports-Records document on-going insurance activity on cases that qualified for catastrophic status by having claims of over $50,000 for NCAA schools in the first two years of the claim. This series may include but is not limited to accident reports; annual insurance questionnaires; notes; claim forms; and related documentation and correspondence.</td>
<td>75</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ICA017</td>
<td></td>
<td>Photographs and Films-Includes photographs and films taken during games, tournaments, and practice sessions. Individual athletes and action shots are included.</td>
<td>PM</td>
<td>I</td>
<td>May be transferred to University Archives</td>
</tr>
<tr>
<td>ICA018</td>
<td></td>
<td>Event Files-Includes facility requests, Frequently Asked Questions (FAQs), checklists, function sheet, invoice, pertinent correspondence, vendor invoices, client CC #, custodial service requests, cater function sheets, copy of client’s check, physical plant work orders, parking information, schedules, agendas,</td>
<td>AC + 4</td>
<td></td>
<td>AC = completion of event</td>
</tr>
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<tr>
<td>ICA019</td>
<td></td>
<td>Game Statistics-Records document the practice, playing, and attendance statistics about each game and the season for each sport by playing year. This series may include but is not limited to player academic statistics; season and game player statistics; recruitment records; special teams statistics; rankings; awards information; NCAA game statistics; media releases; all-conference nominations; spring and fall camp depth charts; numerical rosters; media guides; narrative reports on games and scrimmages; final team statistics for each game; NCAA official scoring summaries; play-by-play written reports; and related documentation and correspondence.</td>
<td>75</td>
<td>O</td>
<td></td>
</tr>
<tr>
<td>ICA020</td>
<td></td>
<td>Scouting Records-Records of activities to prepare for a game, includes documentation of opponents games, and site conditions.</td>
<td>AC</td>
<td>AC</td>
<td>AC = Until the game takes place.</td>
</tr>
<tr>
<td>1.1.070 ICA021</td>
<td></td>
<td>Athletic Policies and Procedures</td>
<td>AC + 3</td>
<td>O</td>
<td>AC = Termination or completion of program, rules, policy, or procedures</td>
</tr>
<tr>
<td>IO199</td>
<td></td>
<td>International Scholars Program Administration Records</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>IO200</td>
<td></td>
<td>Application for Individual Tax Identification numbers</td>
<td>AC + 3</td>
<td></td>
<td>AC = Date of application; Internal Revenue Service (IRS) Tax Identification letter retained in vendor files</td>
</tr>
<tr>
<td>IO201</td>
<td></td>
<td>J-1 Exchange Visitor Files</td>
<td>AC + 3</td>
<td></td>
<td>AC = End of participation in program; 22 CFR 62.10(h)</td>
</tr>
<tr>
<td>IO202</td>
<td></td>
<td>Employment-Based Nonimmigrant Visa - Includes both internal documents and forms submitted to the U.S. Citizenship and Immigration Services (USCIS), including Form I-129, Petition for a Nonimmigrant Worker.</td>
<td>AC + 1</td>
<td></td>
<td>AC = Last date on which the individual is employed through the employment petition.</td>
</tr>
</tbody>
</table>

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<tbody>
<tr>
<td>IO203</td>
<td></td>
<td>Nonimmigrant Visa Public Inspection File</td>
<td>AC + 1</td>
<td></td>
<td>AC = Last date the institution employs any individuals in H-1B nonimmigrant status under the Labor Condition Application for which the Public Inspection File was created or, if no nonimmigrants were employed under the labor condition application, one year from the date the Labor Condition Application (LCA) expired or was withdrawn; 20 CFR 655.760(c)</td>
</tr>
<tr>
<td>3.2</td>
<td>IO204</td>
<td>Nonimmigrant Visa Payroll Records - Required payroll records for H-1B, H-1B1, and E-3 visas.</td>
<td>3</td>
<td></td>
<td>Refer to PAY250 for university payroll records for all employees. CAUTION: If an enforcement action is commenced, all payroll records shall be retained until the enforcement proceeding is completed through the procedures set forth in 20 CFR Chapter V, Part 656, Subpart I. 20 CFR 655.760(c)</td>
</tr>
<tr>
<td>3.1</td>
<td>IO205</td>
<td>Immigrant Petition for Worker (I-140)</td>
<td>AC + 1</td>
<td></td>
<td>AC = Date of filing ETA 9089; 20 CFR 656.10(f); The Director and Librarian of the Texas State Library and Archives Commission, by authority of Texas Government Code, Section 441.191(a), has authorized the return of transcripts or other original documents from foreign institutions to the student/applicant when all retention requirements have been satisfied as a permitted exception against the alienation of state records</td>
</tr>
<tr>
<td>IR054</td>
<td></td>
<td>Coordinating Board Liaison Material</td>
<td>10</td>
<td></td>
<td>Note 2</td>
</tr>
<tr>
<td>IR275</td>
<td></td>
<td>Faculty Teaching Load Reports</td>
<td>5</td>
<td></td>
<td>Note 2</td>
</tr>
<tr>
<td>IR362</td>
<td></td>
<td>Building Space Inventory -includes all facilities under the jurisdiction or control of UT Austin and the Board of Regents, regardless of location</td>
<td>FE + 3</td>
<td></td>
<td>Note 1,2</td>
</tr>
<tr>
<td>IR602</td>
<td></td>
<td>Building and Room Report</td>
<td>FE + 3</td>
<td></td>
<td>Note 2</td>
</tr>
<tr>
<td>IT027</td>
<td></td>
<td>Computer Account Requests</td>
<td>AC + 3</td>
<td></td>
<td>AC = Request completed.</td>
</tr>
<tr>
<td>IT046</td>
<td></td>
<td>Request for Information</td>
<td>FE + 3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.2.001</td>
<td>IT047</td>
<td>Network Transactional Data</td>
<td>6 mo</td>
<td></td>
<td>Note 4; Information used to track a person's use of the network</td>
</tr>
<tr>
<td>2.2.001</td>
<td>IT048</td>
<td>Network Content Data</td>
<td>14 days</td>
<td></td>
<td>Note 4; Includes anything representative of person's activities while on the network</td>
</tr>
<tr>
<td>2.2.001</td>
<td>IT049</td>
<td>Statistical Data/Summary Data</td>
<td>1</td>
<td></td>
<td>Note 4; Systemic and aggregated de-identified statistical data</td>
</tr>
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<tr>
<td>2.2.001</td>
<td>IT050</td>
<td>System Logs</td>
<td>90 days</td>
<td></td>
<td>Note 4; Non-end user specific system log information (error logs, authentication logs, syslogs, etc.) used to ensure system stability, investigate activities, track performance, identify trends.</td>
</tr>
<tr>
<td>JSG001</td>
<td></td>
<td>GeoForce Student Records</td>
<td>AC + 1</td>
<td></td>
<td>AC = Student participation in program</td>
</tr>
<tr>
<td>JSG002</td>
<td></td>
<td>GeoForce Student Applications for students who do not enter</td>
<td>AC + 1</td>
<td></td>
<td>AC = Decision date</td>
</tr>
<tr>
<td>KUT006</td>
<td></td>
<td>Federal Communications Commission(FCC) Records – Public File</td>
<td>AC + 3</td>
<td></td>
<td>AC = After broadcast, document filing; 47 CFR 73.3527(e)(2)</td>
</tr>
<tr>
<td>KUT007</td>
<td></td>
<td>Programming Logs – Daily Logs</td>
<td>FE + 3</td>
<td></td>
<td>47 CFR 73.3527(e)(2); Note 1</td>
</tr>
<tr>
<td>5.2.020</td>
<td>KUT640</td>
<td>Satellite Use Records</td>
<td>FE + 3</td>
<td></td>
<td>47 CFR 73.3527(e)(2); Note 1</td>
</tr>
<tr>
<td>5.1.001</td>
<td>LBJ571</td>
<td>Research Files – Proposal, Contract, Fiscal Reports</td>
<td>AC + 5</td>
<td></td>
<td>AC = After completion of project or longer as directed by contract</td>
</tr>
<tr>
<td>LIB126</td>
<td></td>
<td>Copyright Records</td>
<td>PM</td>
<td>O</td>
<td></td>
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<tr>
<td>LIB139</td>
<td></td>
<td>General Libraries Shelf List</td>
<td>US + 1</td>
<td></td>
<td></td>
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<tr>
<td>LIB141</td>
<td></td>
<td>Library Material Inventory - Listing via the online catalog</td>
<td>US + 1</td>
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</tr>
<tr>
<td>LIB142</td>
<td></td>
<td>Serials Kardex</td>
<td>US + 1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>LIB143</td>
<td></td>
<td>Library Materials Orders Outstanding File</td>
<td>FE + 3</td>
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<tr>
<td>LIB144</td>
<td></td>
<td>Library Special Purchases</td>
<td>FE + 3</td>
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<tr>
<td>LIB145</td>
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<td>Library Proxy List</td>
<td>S</td>
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<tr>
<td>LIB146</td>
<td></td>
<td>Current Library Circulation Transactions</td>
<td>5</td>
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<tr>
<td>LIB147</td>
<td></td>
<td>Manual Library Circulation System</td>
<td>5</td>
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<tr>
<td>LIB148</td>
<td></td>
<td>Benson Latin American Collection Serials Check-in File</td>
<td>AV</td>
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<tr>
<td>LIB149</td>
<td></td>
<td>Benson Latin American Collection Serials Back-log File</td>
<td>AV</td>
<td></td>
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</tr>
<tr>
<td>LIB150</td>
<td></td>
<td>Retrospective Hold for Library Materials</td>
<td>AV</td>
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<td></td>
</tr>
<tr>
<td>LIB151</td>
<td></td>
<td>Library Fine Appeals</td>
<td>AC + 3</td>
<td></td>
<td>AC = After decision on appeal or fine is paid</td>
</tr>
<tr>
<td>LIB165</td>
<td></td>
<td>Online Catalog of Library Holdings for General Libraries</td>
<td>US</td>
<td></td>
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</tr>
</tbody>
</table>

**Retention Codes**
- **AC** – After Closed, Terminated, Completed, Expired, Settled
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**Archival Codes**
- **I** – Transfer to Archives
- **O** – Review by Archivist
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<th>Comments</th>
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<tbody>
<tr>
<td>4.4.002</td>
<td>LIB177</td>
<td>Online Catalog System Documentation</td>
<td>US + 3</td>
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<td></td>
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<tr>
<td>5.2.023</td>
<td>LIB491</td>
<td>Prompt Payment Service Statements (Circulation)</td>
<td>FE + 3</td>
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<td></td>
</tr>
<tr>
<td>5.1</td>
<td>MCD008</td>
<td>Radio Scripts</td>
<td>4</td>
<td></td>
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</tr>
<tr>
<td>4.1.005</td>
<td>MCD447</td>
<td>Visitor's Center Merchandise Inventory</td>
<td>FE + 3</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>NUR001</td>
<td>Immunization Records</td>
<td>AC + 10</td>
<td></td>
<td>AC = Last appointment. Note: For minors, retention is 21st birthday or 10 years following end of calendar year in which consent form was signed, whichever later; If records of several family members are located in the same file, retention period is based upon age of youngest family member.</td>
</tr>
<tr>
<td></td>
<td>NUR002</td>
<td>Patient Records</td>
<td>AC + 7</td>
<td></td>
<td>AC = Last appointment. Note: For minors, retention is 21st birthday or 10 years following end of calendar year in which consent form was signed, whichever later; If records of several family members are located in the same file, retention period is based upon age of youngest family member.</td>
</tr>
<tr>
<td></td>
<td>NUR003</td>
<td>Infant, Child, and Family Immunization Records</td>
<td>AC + 21</td>
<td></td>
<td>AC = Last appointment. Note: For minors, retention is 21st birthday or 10 years following end of calendar year in which consent form was signed, whichever later; If records of several family members are located in the same file, retention period is based upon age of youngest family member.</td>
</tr>
<tr>
<td></td>
<td>NUR004</td>
<td>Infant, Child, and Family Patient Records</td>
<td>AC + 21</td>
<td></td>
<td>AC = Last appointment. Note: For minors, retention is 21st birthday or 10 years following end of calendar year in which consent form was signed, whichever later; If records of several family members are located in the same file, retention period is based upon age of youngest family member.</td>
</tr>
<tr>
<td>1.1.070</td>
<td>OCS001</td>
<td>University Handbook of Operating Procedures (HOP) Policies</td>
<td>PM</td>
<td>I</td>
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<tr>
<td>1.1.071</td>
<td>OCS002</td>
<td>Documentation tracking and authorizing changes to the University HOP Policies</td>
<td>PM</td>
<td>I</td>
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<tr>
<td>1.1.071</td>
<td>OCS003</td>
<td>Policy development working files for the University HOP Policies</td>
<td>AC + 3</td>
<td>O</td>
<td>AC = Publication of update to HOP</td>
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<tr>
<td>3.1.039</td>
<td>OMB001</td>
<td>Ombudsperson Records</td>
<td>AC</td>
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<td>AC = Final decision or matter closed</td>
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<td></td>
<td>OP019</td>
<td>Presidential Correspondence</td>
<td>5</td>
<td>I</td>
<td></td>
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<tr>
<td></td>
<td>OP590</td>
<td>Harrington Fellows Files</td>
<td>AC + 8</td>
<td></td>
<td>AC = After application due date</td>
</tr>
</tbody>
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### 7th Recertification
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<tr>
<td>OP591</td>
<td>OP591</td>
<td>Harrington Planning, Meeting, Event Correspondence and Associated Files</td>
<td>3</td>
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<tr>
<td>OP592</td>
<td>OP592</td>
<td>Harrington Fellows Program Policy and History Files</td>
<td>AC</td>
<td>O</td>
<td>AC = Termination of award</td>
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<tr>
<td>ORS001</td>
<td>ORS001</td>
<td>Review Board Policies and Procedures</td>
<td>AC + 3</td>
<td></td>
<td>AC = Completion or termination of program, rules, policies, or procedures</td>
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<tr>
<td>ORS002</td>
<td>ORS002</td>
<td>Review Board Minutes</td>
<td>AC + 1</td>
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<td>AC = Duration of membership</td>
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<tr>
<td>ORS003</td>
<td>ORS003</td>
<td>Institutional Review Board Minutes</td>
<td>AC</td>
<td></td>
<td>AC = When protocols referenced in the minutes have met retention</td>
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<td>ORS004</td>
<td>ORS004</td>
<td>Institutional Animal Care and Use Committee (IACUC) Minutes and Documentation</td>
<td>AC</td>
<td></td>
<td>AC = When protocols referenced in the minutes have met retention</td>
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<td>ORS005</td>
<td>ORS005</td>
<td>Institutional Biosafety Committee Meeting Minutes</td>
<td>3</td>
<td></td>
<td>45 CFR 46.115(b)</td>
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<tr>
<td>4.7.008</td>
<td>OSP552</td>
<td>Contracts/ Grants Files</td>
<td>AC + 7</td>
<td></td>
<td>AC = After termination of contract or grant; Notes 1, 2</td>
</tr>
<tr>
<td>4.7</td>
<td>OSP554</td>
<td>Grant or Contract Proposal Files - Rejected</td>
<td>AV</td>
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<tr>
<td>3.2.001</td>
<td>PAY249</td>
<td>Retirement Authorization Forms - Deferred compensation authorization</td>
<td>AC + 50</td>
<td></td>
<td>AC = Termination of employment; Refer to HR257 for other deferred</td>
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<tr>
<td>3.2.002</td>
<td>PAY250</td>
<td>Employee Earning Records</td>
<td>4</td>
<td></td>
<td>AC = Until superseded, obsolete, or upon separation of employee; 26 CFR</td>
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<tr>
<td>3.2.005</td>
<td>PAY255</td>
<td>Employee Withholding Allowance Certificate (W-4) Forms</td>
<td>AC + 4</td>
<td></td>
<td>31.6001-1 (e)(2)</td>
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<tr>
<td>3.2.007</td>
<td>PAY256</td>
<td>Unemployment Compensation Records</td>
<td>AC + 5</td>
<td></td>
<td>AC = After payments to former employee ceases</td>
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<tr>
<td>3.2.008</td>
<td>PAY257</td>
<td>Direct Deposit Application/Authorization</td>
<td>US</td>
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<td>3.2.010</td>
<td>PAY258</td>
<td>Human Resources Information Systems (HRIS) Reports</td>
<td>AC + 4</td>
<td></td>
<td>AC = After reconciliation of entries and acceptance of reports</td>
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<tr>
<td>4.4.004</td>
<td>PAY494</td>
<td>Employee Savings Bond Ledger</td>
<td>FE + 3</td>
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<tr>
<td>4.1.001</td>
<td>PTS434</td>
<td>Citations / Permits - Refunds</td>
<td>FE + 3</td>
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<td>Note 1</td>
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<tr>
<td>4.6.001</td>
<td>PTS525</td>
<td>Cashier Shifts Reports</td>
<td>FE + 3</td>
<td></td>
<td>Note 1</td>
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<tr>
<td>4.6.001</td>
<td>PTS527</td>
<td>Daily Summary Reports</td>
<td>FE + 3</td>
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<td>Note 1</td>
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<tr>
<td>4.6.001</td>
<td>PTS529</td>
<td>Register Audit Tapes</td>
<td>FE + 3</td>
<td></td>
<td>Note 1</td>
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<tr>
<td>5.6.009</td>
<td>PTS727</td>
<td>Garage Card and Parking Permit Applications</td>
<td>FE + 1</td>
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</tr>
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<tbody>
<tr>
<td>PTS788</td>
<td></td>
<td>Tickets / Citations Issued</td>
<td>5</td>
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<tr>
<td>PTS799</td>
<td></td>
<td>Tow Warnings</td>
<td>FE + 1</td>
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<tr>
<td>PTS800</td>
<td></td>
<td>Impound Reports</td>
<td>FE + 1</td>
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<tr>
<td>PUR005</td>
<td>4.2.005</td>
<td>Purchase Orders</td>
<td>AC + 7</td>
<td></td>
<td>AC = Final payment; Notes 1 and 3</td>
</tr>
<tr>
<td>PUR006</td>
<td>4.7.011</td>
<td>Texas Facilities Commission Statements</td>
<td>FE + 3</td>
<td></td>
<td>Notes 1 and 3</td>
</tr>
<tr>
<td>PUR079</td>
<td>4.1</td>
<td>Payee Information Forms /Request for Taxpayer Identification Number (TIN) and Certification ( W-9) Forms</td>
<td>AC + 3</td>
<td></td>
<td>AC = After final payment</td>
</tr>
<tr>
<td>REC052</td>
<td></td>
<td>Recreational Sports Program Files</td>
<td>FE + 3</td>
<td></td>
<td>Note 2</td>
</tr>
<tr>
<td>REG051</td>
<td></td>
<td>Student Signature Documents</td>
<td>PM</td>
<td></td>
<td></td>
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<tr>
<td>REG052</td>
<td></td>
<td>Date of Birth (DOB) correction/update - Supporting Documentation</td>
<td>AC + 1</td>
<td></td>
<td>AC = Graduation or last semester enrolled</td>
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<tr>
<td>REG053</td>
<td></td>
<td>History of University Registrars - documents and correspondence of the Registrar and Office of the Registrar</td>
<td>PM</td>
<td></td>
<td>Note 2;</td>
</tr>
<tr>
<td>REG054</td>
<td></td>
<td>Contents of Student Record Jacket</td>
<td>PM</td>
<td></td>
<td>Refer to REG366; Historical student records. No longer adding records in this series.</td>
</tr>
<tr>
<td>REG055</td>
<td></td>
<td>Rosters and reports used to prepare G.I. certification reports</td>
<td>1</td>
<td></td>
<td>Refer to REG323 for 1999 and 1999b Report of Certification Submitted to U.S. Department of Veterans Affairs (VA).</td>
</tr>
<tr>
<td>REG056</td>
<td></td>
<td>VA Pay Rosters</td>
<td>AC + 1</td>
<td></td>
<td>AC = Date on roster</td>
</tr>
<tr>
<td>REG057</td>
<td></td>
<td>Texas Ex-Military Service Exemption Application (Hazlewood Act Documentation)</td>
<td>PM</td>
<td></td>
<td>TEC §54.058 (Hazlewood Act), 19 TAC 21.85</td>
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<tr>
<td>REG058</td>
<td></td>
<td>Simultaneous Major Addition or Deletion</td>
<td>AC + 5</td>
<td></td>
<td>AC = Last semester enrolled</td>
</tr>
<tr>
<td>REG059</td>
<td></td>
<td>Authorization to Clear Hinson-Hazlewood Bar</td>
<td>AC + 1</td>
<td></td>
<td>AC = Date of release</td>
</tr>
<tr>
<td>REG060</td>
<td></td>
<td>Request for Change in Course Inventory</td>
<td>PM</td>
<td></td>
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<tr>
<td>REG061</td>
<td></td>
<td>University Calendar and Supporting Documents</td>
<td>PM</td>
<td>I</td>
<td></td>
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<tr>
<td>REG062</td>
<td></td>
<td>Correspondence, Misc., Relevant</td>
<td>AC + 5</td>
<td></td>
<td>AC = Graduation or last semester enrolled</td>
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<tr>
<td>REG063</td>
<td></td>
<td>Electronic Student Status Confirmation Report Summary (SSCRS)</td>
<td>AC + 5</td>
<td></td>
<td>AC = After verification; Discontinued pending disposal of existing records</td>
</tr>
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<tr>
<td>REG064</td>
<td>Athletic Academic Certification Forms</td>
<td>AC + 6</td>
<td>AC = Last semester enrolled</td>
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<td>REG065</td>
<td>Big 12 Eligibility Form</td>
<td>AC + 6</td>
<td>AC = End of certifying year</td>
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<td>REG066</td>
<td>NCAA Reports: Academic Progress Rate</td>
<td>AC + 8</td>
<td>AC = After submission of report</td>
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<tr>
<td>REG313</td>
<td>In Absentia Registration Forms</td>
<td>AC + 1</td>
<td>AC = Effective semester; Discontinued pending disposal of existing records</td>
<td></td>
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<tr>
<td>REG316</td>
<td>Late Registration Requests</td>
<td>AC + 1</td>
<td>AC = Effective semester</td>
<td></td>
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<tr>
<td>REG317</td>
<td>Reinstatement of Registration</td>
<td>AC + 1</td>
<td>AC = Effective semester; Refer to REG390 for update of scholastic status</td>
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<tr>
<td>REG323</td>
<td>VA Certification and Supporting Documents</td>
<td>AC + 3</td>
<td>AC = Last semester certified; US Department of Veterans Affairs School Certifying Official Handbook; 38 CFR 21.4209(f)</td>
<td></td>
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<tr>
<td>REG324</td>
<td>Veterans Records</td>
<td>AC + 3</td>
<td>AC = Graduation or last date of attendance; Refer to REG057 for Hazlewood Act documentation, REG323 for records of U.S. Department of Veterans Affairs (VA) certification, qne REG056 for VA pay rosters</td>
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<tr>
<td>REG326</td>
<td>Withdrawal Authorization</td>
<td>AC + 2</td>
<td>AC = Last semester enrolled; Refer to CMH372 for retention of medical withdrawal documentation</td>
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<tr>
<td>REG328</td>
<td>Confirmation of Double Major &amp; Additional Degree Note</td>
<td>PM</td>
<td>Note 2</td>
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<tr>
<td>REG329</td>
<td>Undergraduate Add/Drop Form</td>
<td>AC + 1</td>
<td>AC = Effective semester</td>
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<tr>
<td>REG330</td>
<td>Request for Change in Course Schedule</td>
<td>AC + 1</td>
<td>AC = Close of semester</td>
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<tr>
<td>REG331</td>
<td>College/ School Change- Registration update</td>
<td>AC + 5</td>
<td>AC = Last semester enrolled</td>
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<tr>
<td>REG332</td>
<td>Time Conflict Override - Registration update</td>
<td>AC + 1</td>
<td>AC = Effective semester</td>
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<td>REG333</td>
<td>Audit Class Authorization</td>
<td>AC + 1</td>
<td>AC = Date submitted</td>
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<td>REG335</td>
<td>Curriculum Change Authorization and Supporting Documents - Transcript update</td>
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<td>REG343</td>
<td>Student Records - Catalog Balance Sheets</td>
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<td>Discontinued-Pending disposition of existing records</td>
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<td>REG346</td>
<td>Student Request for Enrollment Certification</td>
<td>AC + 1</td>
<td>AC = Date of certification</td>
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<tr>
<td>REG349</td>
<td>Original Grade Sheets</td>
<td>PM</td>
<td>Note 2; security set stored at the TSLAC Records Center, date range 1883-1999; also refer to REG500. Authoritative grade record.</td>
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<tr>
<td>REG350</td>
<td>Grade Reports to Students</td>
<td>AC + 1</td>
<td>AC = After date distributed</td>
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<tr>
<td>REG353</td>
<td>Sponsor Grade Authorization - Scholarship/Fellowship Sponsors</td>
<td>AC + 1</td>
<td>AC = Graduation or last semester enrolled</td>
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<td>REG354</td>
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<td>Study Abroad Grade Update</td>
<td>PM</td>
<td>PM</td>
<td>Note 2</td>
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<tr>
<td>REG355</td>
<td></td>
<td>Requests for Final Course Grades</td>
<td>PM</td>
<td>PM</td>
<td>Note 2</td>
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<tr>
<td>REG356</td>
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<td>Duplicate Diploma Requests</td>
<td>AC + 1</td>
<td>AV</td>
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<td>REG357</td>
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<td>Diploma Name Change Deadline Extension</td>
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<td>AV</td>
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<td>REG363</td>
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<td>Extension / Correspondence Personal Data Correction Form</td>
<td>AC + 1</td>
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<td>REG364</td>
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<td>Request to Change Ethnicity</td>
<td>AC + 1</td>
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<td>REG365</td>
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<td>Extension / Correspondence Batch Grade Sheet Updates</td>
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<td>REG366</td>
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<td>Permanent Record Card</td>
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<td>Historical student records. No longer adding records to this series.</td>
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<td>Pink Data Card</td>
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<td>PM</td>
<td>Historical student records. No longer adding records to this series.</td>
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<td>REG378</td>
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<td>Update to Extension / Correspondence Course Records</td>
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<td>PM</td>
<td>Note 2</td>
</tr>
<tr>
<td>REG379</td>
<td></td>
<td>Grade Change Records</td>
<td>PM</td>
<td>PM</td>
<td>Note 2</td>
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<tr>
<td>REG381</td>
<td></td>
<td>Release of Student Information</td>
<td>PM</td>
<td>PM</td>
<td>Note 2</td>
</tr>
<tr>
<td>REG382</td>
<td></td>
<td>Transcript Requests (From Students)</td>
<td>AC + 1</td>
<td>AV</td>
<td></td>
</tr>
<tr>
<td>REG385</td>
<td></td>
<td>Student Request for Non-Disclosure of Directory Information</td>
<td>US</td>
<td>PM</td>
<td>Note 2</td>
</tr>
<tr>
<td>REG387</td>
<td></td>
<td>Name Change Records</td>
<td>AC + 5</td>
<td>US</td>
<td>AC = Graduation or last semester enrolled</td>
</tr>
<tr>
<td>REG388</td>
<td></td>
<td>Student Request for Enrollment Verification</td>
<td>AC + 1</td>
<td>US</td>
<td>AC = After verification</td>
</tr>
<tr>
<td>REG390</td>
<td></td>
<td>Update of Scholastic Status (Academic Action Authorizations)</td>
<td>PM</td>
<td>PM</td>
<td></td>
</tr>
<tr>
<td>REG392</td>
<td></td>
<td>Credit by Exam Individual Updates - Transcript notation</td>
<td>PM</td>
<td>PM</td>
<td>Note 2</td>
</tr>
<tr>
<td>REG393</td>
<td></td>
<td>Credit by Exam Batch Updates - Transcript notations</td>
<td>PM</td>
<td>PM</td>
<td></td>
</tr>
<tr>
<td>REG398</td>
<td></td>
<td>Degree Audit Records - documents student completion of degree requirements, including authorizations certifying completion of degree requirements.</td>
<td>PM</td>
<td>PM</td>
<td>Note 2</td>
</tr>
</tbody>
</table>

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7th Recertification
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</tr>
</thead>
<tbody>
<tr>
<td>REG401</td>
<td>REG401</td>
<td>Certified List of Graduates</td>
<td>PM</td>
<td>Note 2</td>
<td></td>
</tr>
<tr>
<td>REG402</td>
<td>REG402</td>
<td>Changes to Certified List of Graduates</td>
<td>PM</td>
<td>Note 2</td>
<td></td>
</tr>
<tr>
<td>REG405</td>
<td>REG405</td>
<td>Social Security Number (SSN) Change</td>
<td>PM</td>
<td>Note 2</td>
<td></td>
</tr>
<tr>
<td>REG409</td>
<td>REG409</td>
<td>Course Schedule</td>
<td>PM</td>
<td>Note 2</td>
<td></td>
</tr>
<tr>
<td>REG413</td>
<td>REG413</td>
<td>Room Change Card</td>
<td>AC + 1</td>
<td>AC = After close of semester</td>
<td></td>
</tr>
<tr>
<td>REG414</td>
<td>REG414</td>
<td>Course Report to the Registrar</td>
<td>PM</td>
<td>Note 2</td>
<td></td>
</tr>
<tr>
<td>REG415</td>
<td>REG415</td>
<td>List of Degrees Conferred/ Awarded</td>
<td>PM</td>
<td>Note 2</td>
<td></td>
</tr>
<tr>
<td>REG416</td>
<td>REG416</td>
<td>Course Analysis and Enrollment Report</td>
<td>PM</td>
<td>Note 2</td>
<td></td>
</tr>
<tr>
<td>REG417</td>
<td>REG417</td>
<td>Extension/ Correspondence Grade Sheets</td>
<td>PM</td>
<td></td>
<td></td>
</tr>
<tr>
<td>REG419</td>
<td>REG419</td>
<td>Course Schedule/ Catalog Order Form</td>
<td>AC + 3</td>
<td>AC = Date submitted; Discontinued pending disposal of existing records</td>
<td></td>
</tr>
<tr>
<td>1.3.001</td>
<td>REG420</td>
<td>University Catalogs</td>
<td>PM I University Publication, submission to State Depository Program required</td>
<td>Note 2</td>
<td></td>
</tr>
<tr>
<td>REG421</td>
<td>REG421</td>
<td>Free Catalog Form</td>
<td>AC + 3</td>
<td>AC = After close of semester; Discontinued pending disposal of existing records</td>
<td></td>
</tr>
<tr>
<td>REG424</td>
<td>REG424</td>
<td>Semester Roster of Enrolled Student</td>
<td>AC + 5</td>
<td>AC = Semester created; Discontinued pending disposal of existing records</td>
<td></td>
</tr>
<tr>
<td>REG500</td>
<td>REG500</td>
<td>Permanent Student Records</td>
<td>PM I Refer also to REG366; Historical student records. No longer actively adding records in this series; date range of microfilmed records is 1883-1999; refer to REG349 for microfilmed student records in this date range.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>REG501</td>
<td>REG501</td>
<td>Transcripts</td>
<td>PM</td>
<td></td>
<td></td>
</tr>
<tr>
<td>RMUE001</td>
<td>RMUE001</td>
<td>Commencement Programs and Associated Records</td>
<td>AC O AC = After commencement events; Commencement programs and other records and artifacts are transferred to University archives and retained permanently</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SFS338</td>
<td>SFS338</td>
<td>Financial Aid Records &amp; Documents</td>
<td>AC + 5</td>
<td>AC = Department of Education (DOE) Annual Audit</td>
<td></td>
</tr>
<tr>
<td>SLCC359</td>
<td>SLCC359</td>
<td>Student Records and Correspondence</td>
<td>AC + 5</td>
<td>AC = Graduation or last semester attended; Formerly listed as CCL359 and UTL359</td>
<td></td>
</tr>
<tr>
<td>1.1.040</td>
<td>SWO337</td>
<td>Narrative Evaluation, Professional Field Experience</td>
<td>PM I Note 2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>UCD001</td>
<td>UCD001</td>
<td>Lunch Program Records</td>
<td>AC + 3</td>
<td>AC = After submission of the final claim for reimbursement for the fiscal year; 7 CFR 210.23(c); If audit findings have not been resolved, the records shall be retained beyond the 3-year period as long as required for the resolution of the issues raised by the audit</td>
<td></td>
</tr>
</tbody>
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<tbody>
<tr>
<td>UCD002</td>
<td>UCD002</td>
<td>UT Child-Care Center Records for Individual Child Folder – Enrollment agreement as specified in 40 TAC §746.503; admission information; statement of child’s health from a health-care professional; Immunization records; tuberculin testing information and hearing/vision tests (if applicable); Licensing Incident/Illness Report form</td>
<td>AC + 3mo</td>
<td></td>
<td>AC = Child’s last day in care; 40 TAC §746.603(a)(1-7); 40 TAC §746.603(b)(3)</td>
</tr>
<tr>
<td>UCD003</td>
<td>UCD003</td>
<td>Daily Childcare Procedures and Logs-Infant feeding instructions; Children’s program activity plans for each age group; daily menus; System to track when a child’s care begins and ends daily; medication records; healthcare professional recommendations or orders for providing specialized medical assistance to the child</td>
<td>AC + 3 MO</td>
<td></td>
<td>AC = Creation of record; 40 TAC §746.801(2), (6), (9-10), (24); 40 TAC §746.603(a)(9-10) and (b)(1-2)</td>
</tr>
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<tr>
<td>UCD004</td>
<td></td>
<td>Child-care Center Licensing, Safety, and Compliance Records - Licensing Child-Care Center Director’s Certificate; verification of liability insurance or notice of unavailability, Proof of request of background check; playground maintenance checklists; pet vaccination records; fire safety documentation for emergency drills, fire extinguishers, and smoke detectors; Most recent Licensing inspection report, letter, or notice requiring posting; Most recent Department of State Health Services immunization compliance review form; Most recent Texas Department of Agriculture Child and adult Care Food Program (CACFP) report; Most recent local workforce board Child-Care Services Contractor inspection report; record of pest extermination; Written approval from the fire marshal to provide care above or below ground level; Most recent Department of Family and Protective Services (DFPS) form certifying that University Child Development Center (UCD) has reviewed each of the bulletins and notices issued by the United States Consumer Product Safety Commission regarding unsafe children’s products and that there are no unsafe children’s products in use or accessible to children in the child-care center; Documentation for cribs as specified in 40 TAC §746.2409</td>
<td>AC + 3mo</td>
<td></td>
<td>AC = Creation of record; 40 TAC §746.801(4), (7-8), (11), (13-14), (18-23), (25) and 40 TAC §746.803(a)</td>
</tr>
<tr>
<td>UCD005</td>
<td></td>
<td>Child-Care Center Records Individual Health and Medical Records</td>
<td>AC + 3mo</td>
<td></td>
<td>AC = Child’s last day in care; 40 TAC §746.603(a)(9-10); to be retained with each child’s folder; refer to UCD003 for group medication and health directions and logs</td>
</tr>
</tbody>
</table>

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</thead>
<tbody>
<tr>
<td>UCD006</td>
<td></td>
<td>Child-Care Center Records Sign-in and Sign-out Logs</td>
<td>AC + 3mo</td>
<td></td>
<td>AC = Child’s last day in care; 40 TAC §746.603(a)(8)</td>
</tr>
<tr>
<td>UCD007</td>
<td></td>
<td>Child-Care Personnel Records -- Proof of Request for Background Check and other required documentation for each employee, caregiver, substitute, and volunteer</td>
<td>US + AC + 3mo</td>
<td></td>
<td>AC = Termination of employment at UCD; 40 TAC §746.901 (7); 40 TAC §746.907(a); Background checks must be periodically renewed, the most current proof of request for Background Check will be retained until termination of employment or service at UCD and the final proof of request will be kept for three months thereafter.</td>
</tr>
<tr>
<td>UCS001</td>
<td></td>
<td>UT Charter School Student Records-Student Folder</td>
<td>AC + 5</td>
<td></td>
<td>AC = Date of withdrawal; Contents of the Student Folder may be managed together or some or all of the contents may be managed as individual documents in accordance with the assigned retention. If managing as a folder, all contents within the folder will meet retention requirement and be eligible for final disposition when the folder is eligible for disposition. Whichever method is chosen must be applied systematically to all student folders; may include UT Codes UCS002-UCS007; Does not include UCS017</td>
</tr>
<tr>
<td>UCS002</td>
<td></td>
<td>UT Charter School Student Records-Academic Records- Cumulative record of achievement in grades Pre-K through 8</td>
<td>AC + 5</td>
<td></td>
<td>AC = Date of withdrawal</td>
</tr>
<tr>
<td>UCS003</td>
<td></td>
<td>Enrollment or Registration Forms</td>
<td>AC + 5</td>
<td></td>
<td>AC = Date of withdrawal</td>
</tr>
<tr>
<td>UCS004</td>
<td></td>
<td>Home Language Surveys</td>
<td>AC + 5</td>
<td></td>
<td>AC = Date of withdrawal</td>
</tr>
<tr>
<td>UCS005</td>
<td></td>
<td>Birth Date Documentation-copies of birth certificates, passport, immigration or other records used to establish a date of birth</td>
<td>AC + 5</td>
<td></td>
<td>AC = Date of withdrawal</td>
</tr>
<tr>
<td>UCS006</td>
<td></td>
<td>Student Withdrawal/Record Transfer Form</td>
<td>1</td>
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<td></td>
</tr>
<tr>
<td>UCS007</td>
<td></td>
<td>Immunization Records</td>
<td>AC + 2</td>
<td></td>
<td>AC = Date of withdrawal</td>
</tr>
<tr>
<td>UCS008</td>
<td></td>
<td>Student Services Records Bilingual or Language Services</td>
<td>AC + 5</td>
<td></td>
<td>AC = Cessation of services</td>
</tr>
<tr>
<td>UCS009</td>
<td></td>
<td>Student Services Records Section 504-Records of each student referred to or receiving services under Section 504</td>
<td>AC + 5</td>
<td></td>
<td>AC = Cessation of services</td>
</tr>
<tr>
<td>UCS010</td>
<td></td>
<td>Special Services Education Program Records</td>
<td>AC + 5</td>
<td></td>
<td>AC = Cessation of services</td>
</tr>
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<tr>
<td>UCS011</td>
<td></td>
<td>Attendance Reports - Copies of attendance and enrollment reports submitted to the Texas Education Agency, including those term and period reports. Daily Registers of Pupil Attendance and similar daily or periodic reports used to document the attendance and absence of students.</td>
<td>FE + 5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>UCS012</td>
<td></td>
<td>University Charter School (UCS) Grade Books</td>
<td>AC + 1</td>
<td></td>
<td>AC = Entry of grades in the academic achievement or cumulative record</td>
</tr>
<tr>
<td>UCS013</td>
<td></td>
<td>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.</td>
<td>AC + 1</td>
<td></td>
<td>AC = Grade recorded on the academic achievement or cumulative record; either manually or by affixing labels. 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</td>
</tr>
<tr>
<td>UCS014</td>
<td></td>
<td>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.</td>
<td>AC</td>
<td></td>
<td>AC = As long as the disclosed record is retained; Family Educational Rights and Privacy Act (FERPA) 34 CFR 99.32(a)(2)</td>
</tr>
<tr>
<td>UCS015</td>
<td></td>
<td>Public Education Information Management Systems (PEIMS) Data Submissions</td>
<td>FE + 5</td>
<td></td>
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<tr>
<td>UCS016</td>
<td></td>
<td>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.</td>
<td>AC</td>
<td></td>
<td>AC = Until TEA databases are confirmed to have correct data and for as long as needed afterwards</td>
</tr>
<tr>
<td>UCS017</td>
<td></td>
<td>UCS Student Records-academic achievement record or its equivalent used to record academic achievement in grades 9-12</td>
<td>PM</td>
<td></td>
<td>May include UT Code UCS013</td>
</tr>
<tr>
<td>UCS018</td>
<td></td>
<td>Custody Documents-Copies of court instruments relation to adoption, guardianship, or custody</td>
<td>AC</td>
<td></td>
<td>AC = Student is 18 years old; or AV when a court order is superseded by a subsequent order (e.g., a change in guardianship)</td>
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<tr>
<td>1.1.041</td>
<td>UCS075</td>
<td>Compliance Reporting Case Files</td>
<td>AC + 1</td>
<td></td>
<td>AC = Case closed, it is determined that no investigation is required or investigation completed; if subject of litigation use AALL079</td>
</tr>
<tr>
<td>1.1.041</td>
<td>UCS096</td>
<td>Hotline Reports -- Confidential reports of suspected non-compliance with University policies</td>
<td>3</td>
<td></td>
<td>Identity of those making reports must be protected</td>
</tr>
<tr>
<td>1.1</td>
<td>UHS068</td>
<td>Employee Feedback Forms</td>
<td>AC + 5</td>
<td></td>
<td>AC = Date received</td>
</tr>
<tr>
<td>1.1</td>
<td>UHS069</td>
<td>Student Feedback Forms</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1</td>
<td>UHS070</td>
<td>Medical Consent Forms--Includes forms for non-students</td>
<td>10</td>
<td></td>
<td>Texas Local Schedule HR4775-03a</td>
</tr>
<tr>
<td>1.1.069</td>
<td>UHS102</td>
<td>Computer Generated Daily Prescription Reports</td>
<td>3</td>
<td></td>
<td>21 CFR 1304.04; Health and Safety Code, §481.075(i)(2); Health and Safety Code, §483.023; 37 TAC 13.207</td>
</tr>
<tr>
<td>1.1.069</td>
<td>UHS221</td>
<td>Peer Review Records - Electronic Summary</td>
<td>AC + 10</td>
<td></td>
<td>AC = After completion of review process; Retention meets Accreditation Association for Ambulatory Health Care (AAAHC) requirement</td>
</tr>
<tr>
<td></td>
<td>UHS222</td>
<td>Incident Reports - Electronic Summaries</td>
<td>AC + 5</td>
<td></td>
<td>AC = After completion of review process; Retention meets AAAHC requirement</td>
</tr>
<tr>
<td></td>
<td>UHS223</td>
<td>Incident Reports</td>
<td>6</td>
<td></td>
<td>For minor incidents not investigated by UTPD, refer to AALL789.</td>
</tr>
<tr>
<td>1.1.069</td>
<td>UHS224</td>
<td>Employee Training Records</td>
<td>AC + 5</td>
<td></td>
<td>Documentation showing compliance with providing training required for AAAHC accreditation.</td>
</tr>
<tr>
<td>1.1.069</td>
<td>UHS225</td>
<td>Employee Health Records</td>
<td>AC + 7</td>
<td></td>
<td>AC = Date of last visit or consultation; UHS services for worker’s comp injuries and exposures; 22 TAC 165.1(b); series discontinued pending destruction of existing records</td>
</tr>
<tr>
<td>3.1.024</td>
<td>UHS226</td>
<td>Employee Health Records with Bloodborne Pathogens Exposure</td>
<td>AC + 30</td>
<td></td>
<td>AC = Exposure or 30 years after termination of employment, whichever is longer; Note 2</td>
</tr>
<tr>
<td>3.1</td>
<td>UHS272</td>
<td>Peer Review Records &amp; Questionnaires</td>
<td>AC + 1</td>
<td></td>
<td>AC = After completion of review process</td>
</tr>
<tr>
<td>3.3.025</td>
<td>UHS283</td>
<td>Job Procedure Records</td>
<td>US + 3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.3.025</td>
<td>UHS374</td>
<td>Patient Records</td>
<td>AC + 7</td>
<td></td>
<td>AC = Date of last consultation or visit; 22 TAC 165.1(b)</td>
</tr>
<tr>
<td>3.3.025</td>
<td>UHS375</td>
<td>X-Rays</td>
<td>AC + 7</td>
<td></td>
<td>AC = Date of last consultation or visit; 22 TAC 165.1(b)</td>
</tr>
<tr>
<td></td>
<td>UHS376</td>
<td>Original Prescriptions</td>
<td>10</td>
<td></td>
<td>42 CFR 426.505(d)</td>
</tr>
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<th>Record Series Title</th>
<th>Retention</th>
<th>Archival</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.2.014</td>
<td>UHS621</td>
<td>Medical Supply Inventory Records</td>
<td>FE + 3</td>
<td></td>
<td>Note 1</td>
</tr>
<tr>
<td>5.2.018</td>
<td>UHS631</td>
<td>Laboratory Quality Control Logs</td>
<td>AC + 2</td>
<td></td>
<td>AC = College of American Pathologists (CAP) Certification</td>
</tr>
<tr>
<td>1.1.070</td>
<td>UHS632</td>
<td>University Health Services (UHS) Policy &amp; Procedures</td>
<td>US + 6</td>
<td>O</td>
<td></td>
</tr>
<tr>
<td></td>
<td>UHS633</td>
<td>UHS Monitoring Logs</td>
<td>FE + 5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.5.007</td>
<td>UHS714</td>
<td>Disputed Call Documentation</td>
<td>FE + 3</td>
<td></td>
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<tr>
<td>UIL001</td>
<td></td>
<td>University Interscholastic League (UIL) Executive Committee Meeting</td>
<td>PM</td>
<td>I</td>
<td></td>
</tr>
<tr>
<td>UIL002</td>
<td></td>
<td>Constitution and Contest Regulations</td>
<td>PM</td>
<td>O</td>
<td></td>
</tr>
<tr>
<td>UIL003</td>
<td></td>
<td>Champion Book</td>
<td>PM</td>
<td>O</td>
<td></td>
</tr>
<tr>
<td>UIL004</td>
<td></td>
<td>Scholarship Awards, Evaluation, and Support Documents</td>
<td>15</td>
<td></td>
<td></td>
</tr>
<tr>
<td>UIL005</td>
<td></td>
<td>Student Eligibility Waivers and Appeals</td>
<td>AC + 1</td>
<td></td>
<td>AC = After High School graduation or last semester of high school attendance</td>
</tr>
<tr>
<td>UPD605</td>
<td></td>
<td>Records of Destruction of Unclaimed Property</td>
<td>FE + 3</td>
<td></td>
<td>Local Schedule PS4175-14</td>
</tr>
<tr>
<td>UPD701</td>
<td></td>
<td>Alarm Information</td>
<td>US + 1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>UPD702</td>
<td></td>
<td>Building Security Surveys</td>
<td>US</td>
<td></td>
<td></td>
</tr>
<tr>
<td>UPD742</td>
<td></td>
<td>Uniform Crime Report</td>
<td>3</td>
<td></td>
<td>Local Schedule PS4175-14</td>
</tr>
<tr>
<td>UPD743</td>
<td></td>
<td>Monthly System Offense Report</td>
<td>1</td>
<td></td>
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<tr>
<td>UPD751</td>
<td></td>
<td>Police Department Equipment Sign-Out Log</td>
<td>AC + 3mo</td>
<td></td>
<td>AC= After date returned</td>
</tr>
<tr>
<td>UPD759</td>
<td></td>
<td>Training Advisories</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>UPD764</td>
<td></td>
<td>Shooting Range Records</td>
<td>AC + 1</td>
<td></td>
<td>AC = Date of activity</td>
</tr>
<tr>
<td>UPD779</td>
<td></td>
<td>Field Interrogation Card</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>UPD789</td>
<td></td>
<td>Incident Reports</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>UPD790</td>
<td></td>
<td>Offense Reports</td>
<td>AC + AV</td>
<td></td>
<td>AC = Statute of limitations</td>
</tr>
<tr>
<td>UPD791</td>
<td></td>
<td>Internal Affairs (IA) Investigation Records</td>
<td>PM</td>
<td></td>
<td>Local Schedule PS4075-01a</td>
</tr>
</tbody>
</table>

### Retention Codes
- AC – After Closed, Terminated, Completed, Expired, Settled
- AV – Administrative Value
- CE – Calendar Year End
- FE – Fiscal Year End
- LA – Life of Asset
- MO – Months
- PM – Permanent
- US – Until Superseded

### Archival Codes
- I – Transfer to Archives
- O – Review by Archivist

7th Recertification
<table>
<thead>
<tr>
<th>State Item</th>
<th>UT Code</th>
<th>Record Series Title</th>
<th>Retention</th>
<th>Archival</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>UPD792</td>
<td></td>
<td>IA Investigation Records - Records of investigations that result in sustained formal discipline.</td>
<td>15</td>
<td></td>
<td>Local Schedule PS4075-01b</td>
</tr>
<tr>
<td>UPD793</td>
<td></td>
<td>IA Investigation Records -Records of investigations that result in sustained informal discipline or of investigations whose findings are inconclusive.</td>
<td>AC+ 5</td>
<td></td>
<td>AC = After completion of investigation provided a 1 year infraction free period precedes the date of destruction; Local Schedule PS4075-01c</td>
</tr>
<tr>
<td>UPD794</td>
<td></td>
<td>IA Investigation - Records of investigations whose findings are not sustained, or in cases where accusations are determined to be unfounded or the accused is exonerated.</td>
<td>3</td>
<td></td>
<td>Local Schedule PS4125-01d</td>
</tr>
<tr>
<td>UPD795</td>
<td></td>
<td>IA Investigation Records - Written complaints and records of oral complaints received from the public concerning the conduct of law enforcement officers, fire department personnel, and emergency medical personnel that do not lead to an internal affairs investigation.</td>
<td>AC + 2</td>
<td></td>
<td>AC = Determination not to initiate an internal affairs investigation; Texas Local Schedule PS4125-01e</td>
</tr>
<tr>
<td>UPD796</td>
<td></td>
<td>Criminal Trespass Warning File</td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>UPD798</td>
<td></td>
<td>Collision Reports – Copy of reports of vehicular accidents whether or not an arrest is made</td>
<td>3</td>
<td></td>
<td>Originals are sent to the Texas Department of Transportation</td>
</tr>
<tr>
<td>UPD807</td>
<td></td>
<td>Lost and Found Property Tags</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.021</td>
<td>VPB049</td>
<td>Special Request for Records</td>
<td>AC + 2</td>
<td></td>
<td>AC=Final response to request</td>
</tr>
<tr>
<td>1.1.070</td>
<td>VPB059</td>
<td>Vice President for Business Affairs (VPBA) Policies and Procedures</td>
<td>US + 3</td>
<td>O</td>
<td></td>
</tr>
<tr>
<td>4.7.005</td>
<td>VPB550</td>
<td>Tort Claim</td>
<td>AC + 5</td>
<td></td>
<td>AC = Resolution of claim</td>
</tr>
<tr>
<td>5.2.001</td>
<td>VPB593</td>
<td>Appraisals - Building &amp; Property</td>
<td>AV</td>
<td>O</td>
<td></td>
</tr>
<tr>
<td>VPB601</td>
<td></td>
<td>Warranty Deeds and Title Insurance on Property Acquired</td>
<td>AC + 10</td>
<td></td>
<td>AC = Ownership of asset; Note 2</td>
</tr>
</tbody>
</table>

**Retention Codes**

AC – After Closed, Terminated, Completed, Expired, Settled
AV – Administrative Value
CE – Calendar Year End
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**Archival Codes**

I – Transfer to Archives
O – Review by Archivist

**7th Recertification**
# The University of Texas at Austin Records Retention Schedule

<table>
<thead>
<tr>
<th>State Item</th>
<th>UT Code</th>
<th>Record Series Title</th>
<th>Retention</th>
<th>Archival</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>VPR129</td>
<td></td>
<td>Scientific Misconduct Files</td>
<td>AC + 7</td>
<td></td>
<td>AC = Completion of any proceeding involving the allegation of research misconduct, unless custody of the records has been transferred to Office of Research Integrity (ORI) or ORI has advised that the records no longer need to be retained; 42 CFR 93.317</td>
</tr>
<tr>
<td>VPR130</td>
<td></td>
<td>Fiscal Disclosure Forms</td>
<td>AC + 5</td>
<td></td>
<td>AC = Receipt of disclosure</td>
</tr>
<tr>
<td>VPR131</td>
<td></td>
<td>Conflict of Interest Management Plans</td>
<td>AC + 5</td>
<td></td>
<td>AC = File closed by UT System</td>
</tr>
<tr>
<td>VPR132</td>
<td></td>
<td>Conflict of Interest-Summary Report</td>
<td>PM</td>
<td></td>
<td></td>
</tr>
<tr>
<td>VPR133</td>
<td></td>
<td>Administered Foundations/Limited Submissions-Nominations</td>
<td>PM</td>
<td></td>
<td>This code applies to keeping records of the names and departments of those nominated</td>
</tr>
<tr>
<td>VPR134</td>
<td></td>
<td>Administered Foundations/Limited Submissions-Award Recipients</td>
<td>PM</td>
<td></td>
<td>This code applies to keeping records of the names and departments of award recipients</td>
</tr>
<tr>
<td>VPR135</td>
<td></td>
<td>Award Programs/Limited Submissions-Applications Submitted (Nomination Packets)</td>
<td>AC + 5</td>
<td></td>
<td>AC = End of fiscal years if not funded; if funded end of funding; programs that do not run every year should be kept for 3 cycles</td>
</tr>
<tr>
<td>VPR136</td>
<td></td>
<td>Award Programs/Limited Submissions-Correspondence and Review (Incidental Materials)</td>
<td>AC + 5</td>
<td></td>
<td>AC = End of semester of nomination/deadline</td>
</tr>
<tr>
<td>VPS370</td>
<td></td>
<td>Emergency Medical Information Form for Students</td>
<td>AC + 3</td>
<td></td>
<td>AC = Graduation date or date of last attendance</td>
</tr>
<tr>
<td>VPS403</td>
<td></td>
<td>Student Waiver Form for Liability</td>
<td>AC + 4</td>
<td></td>
<td>AC = Graduation date or date of last attendance</td>
</tr>
<tr>
<td>VPS404</td>
<td></td>
<td>Permission for Student Financial Services Staff to Participate on Boards of Professional Organizations</td>
<td>AC + 2</td>
<td></td>
<td>AC = End of term</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Retention Codes</th>
<th>Archival Codes</th>
</tr>
</thead>
<tbody>
<tr>
<td>AC – After Closed, Terminated, Completed, Expired, Settled</td>
<td>I – Transfer to Archives</td>
</tr>
<tr>
<td>AV – Administrative Value</td>
<td>O – Review by Archivist</td>
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<tr>
<td>CE – Calendar Year End</td>
<td>FE – Fiscal Year End</td>
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<tr>
<td>LA – Life of Asset</td>
<td>MO – Months</td>
</tr>
<tr>
<td>PM – Permanent</td>
<td>US – Until Superseded</td>
</tr>
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</table>

7th Recertification
### Category 1: Administrative Records
#### Section 1.1 - General

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1.002</td>
<td>Audits</td>
<td>AC + 7</td>
<td>AC = Publication or release of final audit findings. The State Auditor's Office retains any copies of its audits performed on Texas state agencies.</td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.004</td>
<td>Legislative Appropriation Requests</td>
<td>A AC + 6</td>
<td>AC = September 1 of odd-numbered calendar years.</td>
</tr>
<tr>
<td></td>
<td>Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.006</td>
<td>Complaint Records</td>
<td>AC + 2</td>
<td>AC = Final disposition of the complaint.</td>
</tr>
<tr>
<td></td>
<td>Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.</td>
<td></td>
<td>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.</td>
</tr>
</tbody>
</table>

**Retention Codes** - All retention periods are subject to the caution statement on page ii.
- A C - After closed, terminated, completed, expired or settled
- A V - As long as administratively valuable
- CE - Calendar year end
- FE - Fiscal year end

**Archival Codes** - See page ix.
- A - Transfer to Archives and Information Services Division
- R - Review required before disposal
## Texas State Records Retention Schedule

### Category 1: Administrative Records

#### Section 1.1 - General

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1.007</td>
<td>Correspondence - Administrative</td>
<td>X</td>
<td>R</td>
<td>4</td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td></td>
<td></td>
<td>ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention periods.</td>
</tr>
<tr>
<td>1.1.008</td>
<td>Correspondence - General</td>
<td></td>
<td>2</td>
<td></td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td></td>
<td></td>
<td>CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency’s approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.</td>
</tr>
<tr>
<td>1.1.010</td>
<td>Directives</td>
<td></td>
<td>US + 1</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Any document that officially initiates, rescinds, or amends general office procedures.</td>
<td></td>
<td></td>
<td>SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.</td>
</tr>
</tbody>
</table>

---

**RetentionPolicy** - All retention periods are subject to the caution statement on page ii.

- AC - After closed, terminated, completed, expired or settled
- AV - As long as administratively valuable
- CE - Calendar Year End
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**Archival Codes** - See page ix.

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## Texas State Records Retention Schedule

### Category 1: Administrative Records

#### Section 1.1 - General

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<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Codes</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1.011</td>
<td>Executive Orders</td>
<td>X</td>
<td>A</td>
<td>US + 3</td>
</tr>
<tr>
<td></td>
<td>Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.013</td>
<td>Calendars, Appointment and Itinerary Records</td>
<td>R</td>
<td>CE + 1</td>
<td></td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when these records have met their retention periods.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.014</td>
<td>Legal Opinions and Advice</td>
<td>R</td>
<td>AV</td>
<td></td>
</tr>
<tr>
<td></td>
<td>From agency legal counsel or the Attorney General, including any requests eliciting the opinions.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.019</td>
<td>Public Relations Records</td>
<td>R</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td></td>
<td>News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Retention Codes
- A C - After closed, terminated, completed, expired or settled
- A V - As long as administratively valuable
- CE - Calendar year end
- FE - Fiscal year end
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### Archival Codes
- A - Transfer to Archives and Information Services Division
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**Effective July 4, 2012**
### Texas State Records Retention Schedule

**Category 1: Administrative Records**

**Section 1.1 - General**

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<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1020</td>
<td><strong>Public Information Requests - Not Exempted</strong></td>
<td></td>
<td>AC + 1</td>
<td>AC = Date request fulfilled.</td>
</tr>
<tr>
<td></td>
<td>Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code).</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1021</td>
<td><strong>Public Information Requests - Exempted</strong></td>
<td></td>
<td>AC + 2</td>
<td>AC = Date of notification that records are exempt.</td>
</tr>
<tr>
<td></td>
<td>Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code).</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1023</td>
<td><strong>Organization Charts</strong></td>
<td>A</td>
<td>US</td>
<td></td>
</tr>
<tr>
<td>1.1024</td>
<td><strong>Plans and Planning Records</strong></td>
<td>R</td>
<td>AC + 3</td>
<td>AC = Decision made to implement or not to implement result of planning process.</td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td></td>
<td></td>
<td>ARCHIVES NOTE: Data processing planning records are not archival.</td>
</tr>
<tr>
<td>1.1026</td>
<td><strong>Texas Register Submissions</strong></td>
<td></td>
<td>AC + 1</td>
<td>AC = Date of publication in the Texas Register.</td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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For Reference Only
UT Departments Must Use UT Codes

For the official State of Texas Records Retention Schedule refer to:

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<th>Archival Vital</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1.027</td>
<td>Proposed Legislation</td>
<td></td>
<td>AV</td>
<td>AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.</td>
</tr>
<tr>
<td>1.1.038</td>
<td>Customer Surveys</td>
<td></td>
<td>AC</td>
<td>AC = End of term in office or termination of service in a state position.</td>
</tr>
<tr>
<td>1.1.040</td>
<td>Speeches, Papers and Presentations</td>
<td>R</td>
<td>AC</td>
<td>AC = End of term in office or termination of service in a state position.</td>
</tr>
<tr>
<td>1.1.041</td>
<td>Suggestion System Records</td>
<td></td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>1.1.043</td>
<td>Training Materials</td>
<td></td>
<td>US + 1</td>
<td></td>
</tr>
</tbody>
</table>

**Retention Codes** - All retention periods are subject to the caution statement on page ii.
- A C - After closed, terminated, completed, expired or settled
- A V - As long as administratively valuable
- CE - Calendar year end
- FE - Fiscal year end

**Archival Codes** - See page ix.
- A - Transfer to Archives and Information Services Division
- R - Review required before disposal
- LA - Life of asset
- PM - Permanent
- US - Until superseded
## Texas State Records Retention Schedule

**Category 1: Administrative Records**

### Section 1.1 - General

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Codes</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1.048</td>
<td>Litigation Files</td>
<td>R</td>
<td>AC + 1</td>
<td>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. ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation.</td>
</tr>
<tr>
<td>1.1.053</td>
<td>Registration Logs</td>
<td>AC</td>
<td>-</td>
<td>AC = Report filed with the Texas Ethics Commission.</td>
</tr>
<tr>
<td>1.1.055</td>
<td>Strategic Plans</td>
<td>A</td>
<td>AC + 6</td>
<td>AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.</td>
</tr>
<tr>
<td>1.1.056</td>
<td>ADA (Americans with Disabilities Act) Documentation</td>
<td>S</td>
<td>28 CFR 35.105(c)</td>
<td></td>
</tr>
</tbody>
</table>

**Retention Codes** - All retention periods are subject to the caution statement on page ii.

- A C - After closed, terminated, completed, expired or settled
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**Archival Codes** - See page ix.

- A - Transfer to Archives and Information Services Division
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---

*For Reference Only*  
*UT Departments Must Use UT Codes*
### Transitory Information

Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency’s recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series.

Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; telephone message notifications; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.

AC = Purpose of record has been fulfilled.

CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions.

The disposal of transitory information need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).
## Texas State Records Retention Schedule

### Category 1: Administrative Records

#### Section 1.1 - General

<table>
<thead>
<tr>
<th>Item No.</th>
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</tr>
</thead>
<tbody>
<tr>
<td>1.1.058</td>
<td>Meeting Agenda and Minutes</td>
<td>A - C</td>
<td>PM</td>
<td>ARCHIVES NOTE: Agency retains permanent record copy. The archival requirement will be met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission. 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. AC = The date of the meeting or completion of pending action involving the meeting, whichever is later. Government Code, 551.104(a). SEE caution comment at item number 1.1.058.</td>
</tr>
</tbody>
</table>

| 1.1.059 | Meetings, Certified Agendas or Tape Recordings of Closed | AC + 2 | | |

### Retention Codes
- A C - After closed, terminated, completed, expired or settled
- A V - As long as administratively valuable
- CE - Calendar Year End
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### Archival Codes
- LA - Life of Asset
- PM - Permanent
- US - Until Superseded
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<tr>
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<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1.060</td>
<td>Meetings, Audio or Videotapes of Open</td>
<td></td>
<td>AC + 90 days</td>
<td>AC = Official approval of written minutes of the meeting by the governing body of an agency. CAUTION: Minutes of state agencies are permanent records. Audio and videotapes are not permanent media. State agencies may not retain audio or videotapes of the meetings of governing bodies in lieu of written minutes. The proceedings of all meetings of state boards, committees, commissions, and councils must be reduced to writing. SEE caution comment at item number 1.1.058.</td>
</tr>
<tr>
<td></td>
<td>Audio or videotapes of open meetings of state boards, commissions, committees, and councils.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.061</td>
<td>Meeting - Notes</td>
<td></td>
<td>AC + 90 days</td>
<td>AC = Approval of the formal minutes by the governing body. SEE caution comment at item number 1.1.058.</td>
</tr>
<tr>
<td></td>
<td>Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.062</td>
<td>Meetings - Supporting Documentation</td>
<td>A</td>
<td>2</td>
<td>SEE caution comment at item number 1.1.058.</td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.063</td>
<td>Staff Meeting Minutes and Notes</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Minutes or notes and supporting documentation taken at internal agency staff meetings.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**RetentionPolicy Codes** - All retention periods are subject to the caution statement on page ii.
- A C - After closed, terminated, completed, expired or settled
- A V - As long as administratively valuable
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**Archival Codes** - See page ix.
- A - Transfer to Archives and Information Services Division
- R - Review required before disposal
### Texas State Records Retention Schedule

**Category 1: Administrative Records**

#### Section 1.1 - General

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<tr>
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<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1.064</td>
<td>Agency Performance Measures Documentation</td>
<td>X</td>
<td>FE + 3</td>
<td>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.</td>
</tr>
<tr>
<td>1.1.065</td>
<td>Reports and Studies (Non-Fiscal)-Raw Data</td>
<td></td>
<td>AV</td>
<td>CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. SEE especially item number 1.1.064.</td>
</tr>
<tr>
<td>1.1.066</td>
<td>Reports-Biennial or Annual Agency (Narrative)</td>
<td>A</td>
<td>AC + 6</td>
<td>AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission. ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, A, R, or E. SEE page ix for more information.</td>
</tr>
<tr>
<td>* 1.1.067</td>
<td>Reports and Studies (Non-Fiscal)</td>
<td>R</td>
<td>3</td>
<td>ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, A, R, or E. SEE page ix for more information.</td>
</tr>
</tbody>
</table>

**RetentionPolicy Codes** - All retention periods are subject to the caution statement on page ii.

- A - After closed, terminated, completed, expired or settled
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**Archival Codes** - See page ix.

- A - Transfer to Archives and Information Services Division
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---

For the official State of Texas Records Retention Schedule refer to: https://www.tsl.state.tx.us/sites/default/files/public/tslac/slrm/recordspubs/RRS4_Revised.pdf
<table>
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<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1.068</td>
<td><strong>Reports on Performance Measures</strong>&lt;br&gt;Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.</td>
<td></td>
<td>AC + 6</td>
<td>AC = September 1 of odd-numbered calendar years.</td>
</tr>
<tr>
<td>1.1.069</td>
<td><strong>Reports - Activity</strong>&lt;br&gt;Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.</td>
<td>X</td>
<td>R</td>
<td>AC + 3</td>
</tr>
<tr>
<td>1.1.070</td>
<td><strong>Agency Rules, Policies, and Procedures - Final</strong>&lt;br&gt;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.</td>
<td>X</td>
<td>R</td>
<td>AC + 3</td>
</tr>
<tr>
<td>1.1.071</td>
<td><strong>Agency Rules, Policies, and Procedures - Working Files</strong>&lt;br&gt;Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency’s programs, services, or projects.</td>
<td>X</td>
<td>R</td>
<td>AC + 3</td>
</tr>
</tbody>
</table>

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**Archival Codes** - See page ix.
- A - Transfer to Archives and Information Services Division
- R - Review required before disposal
## Texas State Records Retention Schedule
### Category 1: Administrative Records
#### Section 1.1 - General

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<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>• 1.1.072</td>
<td>Public Information Reports</td>
<td></td>
<td></td>
<td>2</td>
</tr>
<tr>
<td>1.1.073</td>
<td>Administrative Hearings</td>
<td>R</td>
<td>AC + 3</td>
<td>AC = Last action.</td>
</tr>
<tr>
<td>1.1.074</td>
<td>Sunset Review Report and Documentation</td>
<td>R</td>
<td>AC + 3</td>
<td>AC = After the subsequent Sunset Review.</td>
</tr>
<tr>
<td>1.1.075</td>
<td>Alternative Dispute Resolutions - Final Agreement</td>
<td>AC + 4</td>
<td></td>
<td>AC = Date of final agreement. Texas Civil Practice and Remedies Code, Chapter 154.071.</td>
</tr>
</tbody>
</table>

**RetentionPolicy**
- All retention periods are subject to the caution statement on page ii.

**Archival Codes**
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- R - Review required before disposal

**Archival Codes**
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## Texas State Records Retention Schedule
### Category 1: Administrative Records
#### Section 1.2 - Records Management

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Vital</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.2.001</td>
<td>Destruction Authorizations</td>
<td>FE + 3</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Agency level documents authorizing final disposition of records under a certified records retention schedule.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2.003</td>
<td>Forms History File</td>
<td>AC + 1</td>
<td></td>
<td>AC = Discontinuance of use of form.</td>
</tr>
<tr>
<td></td>
<td>Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2.004</td>
<td>Forms Inventory</td>
<td>US</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Any periodic listing of all forms used internally or externally by an agency.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2.005</td>
<td>Records Retention Schedule (SLR 105)</td>
<td>US</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Agency copy. Formerly RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C) and/or other forms designated by the State Records Administrator.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2.006</td>
<td>Records Transmittal Forms</td>
<td>AC + 2</td>
<td></td>
<td>AC = Date of authorization for destruction, permanent transfer from storage, or transfer to the Archives and Information Services Division, Texas State Library and Archives Commission, by the agency records management officer.</td>
</tr>
<tr>
<td></td>
<td>Agency copy (includes RMD 101, Tx-R-5, 306-58-1, and Agency Storage Forms). Forms indicate records transferred to storage or a transfer of legal custody.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2.008</td>
<td>Request for Authority to Dispose of State Records (RMD 102)</td>
<td>FE + 3</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Agency copy. Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Retention Codes
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- US - Until superseded
- AC - Discontinuance of use of form.
- FE + 3 - Date of authorization for destruction, permanent transfer from storage, or transfer to the Archives and Information Services Division, Texas State Library and Archives Commission, by the agency records management officer.

### Archival Codes
- A - Transfer to Archives and Information Services Division
- R - Review required before disposal

For Reference Only
UT Departments Must Use UT Codes

For the official State of Texas Records Retention Schedule refer to:
## Texas State Records Retention Schedule

**Category 1: Administrative Records**

**Section 1.2 - Records Management**

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Codes</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.2.010</td>
<td>Records Disposition Logs</td>
<td>A C</td>
<td>10</td>
<td>Logs or similar records listing records destroyed or transferred to the Archives and Information Services Division, Texas State Library and Archives Commission, showing records series title, dates of records, and date destroyed or transferred.</td>
</tr>
<tr>
<td>1.2.011</td>
<td>Record Center Storage Approval Forms (RMD 106)</td>
<td>US</td>
<td></td>
<td>Agency copy.</td>
</tr>
<tr>
<td>1.2.012</td>
<td>Records Inventory Worksheets</td>
<td>US</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2.013</td>
<td>Records Control Locator Aids</td>
<td>AC</td>
<td></td>
<td>Includes indexes, card files, shelf lists, registers, guides, etc.</td>
</tr>
<tr>
<td>1.2.014</td>
<td>Records Management Plans</td>
<td>US + 1</td>
<td></td>
<td>Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.</td>
</tr>
<tr>
<td>1.2.015</td>
<td>Disaster Recovery Service Transmittals (RMD 109)</td>
<td>FE + 1</td>
<td></td>
<td>Also includes documentation for disaster recovery services provided by other entities.</td>
</tr>
</tbody>
</table>

**Retirement Codes** - All retention periods are subject to the caution statement on page ii.
- A C - After closed, terminated, completed, expired or settled
- A V - As long as administratively valuable
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**Archival Codes** - See page ix.
- A - Transfer to Archives and Information Services Division
- LA - Life of Asset
- PM - Permanent
- US - Until Superseded
- AC = When control aid is updated, revised, or no longer needed.
- AC + Until superseded or termination of service.

For Reference Only

UT Departments Must Use UT Codes

For the official State of Texas Records Retention Schedule refer to: https://www.tsl.state.tx.us/sites/default/files/public/tslac/slrm/recordspubs/RRS4_Revised.pdf
### Texas State Records Retention Schedule

**Category 1: Administrative Records**

**Section 1.3 - State Publications**

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Vital</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.3.001</td>
<td><strong>State Publications</strong>&lt;br&gt;One copy of each state publication as defined on page xi of the introduction of this schedule, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003, which also meet the definition, are closely associated with the appropriations process and must be retained AC + 6.</td>
<td>AC + 2</td>
<td>AC = Until superseded or obsolete. CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101-441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC 3.1-3.16).</td>
<td></td>
</tr>
<tr>
<td>1.3.002</td>
<td><strong>Publication Development Files</strong>&lt;br&gt;Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.</td>
<td>R AV</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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## Category 2: Electronic Data Processing Records

### Section 2.1 - Automated Applications

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Vital</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1001</td>
<td>Processing Files</td>
<td>X</td>
<td>AC</td>
<td>AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur. CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.</td>
</tr>
<tr>
<td>2.1002</td>
<td>Master Files</td>
<td>X</td>
<td>AC</td>
<td>AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur. CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.</td>
</tr>
<tr>
<td>2.1007</td>
<td>Software Programs</td>
<td>X</td>
<td>AC</td>
<td>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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.</td>
</tr>
</tbody>
</table>

### Retention Codes
- AC - After closed, terminated, completed, expired or settled
- AV - As long as administratively valuable
- CE - Calendar Year End
- FE - Fiscal Year End
- LA - Life of Asset
- PM - Permanent
- US - Until Superseded

### Archival Codes
- A - Transfer to Archives and Information Services Division
- R - Review required before disposal
## Texas State Records Retention Schedule

### Category 2: Electronic Data Processing Records

#### Section 2.1 - Automated Applications

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<thead>
<tr>
<th>Item No.</th>
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<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1.008</td>
<td>Hardware Documentation</td>
<td>X</td>
<td>AC</td>
<td>(\text{AC} = \text{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. 13 TAC 6.94.})</td>
</tr>
<tr>
<td>2.1.009</td>
<td>Technical Documentation</td>
<td>X</td>
<td>AC</td>
<td>(\text{AC} = \text{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. 13 TAC 6.94.})</td>
</tr>
</tbody>
</table>

**RetentionPolicy Codes**
- A C - After closed, terminated, completed, expired or settled
- A V - As long as administratively valuable
- CE - Calendar year end
- FE - Fiscal year end
- LA - Life of asset
- PM - Permanent
- US - Until superseded
- 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. 13 TAC 6.94.

**Archival Codes**
- A - Transfer to Archives and Information Services Division
- R - Review required before disposal

---

**For Reference Only**

UT Departments Must Use UT Codes

---

For the official State of Texas Records Retention Schedule refer to: https://www tsl.state.tx.us/sites/default/files/public tslac slrm recordspubs RRS4_Revised.pdf
## Texas State Records Retention Schedule

### Category 2: Electronic Data Processing Records

#### Section 2.1 - Automated Applications

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Vital</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.100</td>
<td>Audit Trail Records</td>
<td>X</td>
<td>AC</td>
<td>AC = All audit requirements have been met.</td>
</tr>
<tr>
<td></td>
<td>Files needed for electronic data audits such as files or re-</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>ports showing transactions accepted, rejected, suspended,</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>and/or processed; history files/tapes; records of on-line</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>updates to application files or security logs.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.101</td>
<td>Finding Aids, Indexes, and Tracking Systems</td>
<td>X</td>
<td>AC</td>
<td>AC = The related records have been destroyed.</td>
</tr>
<tr>
<td></td>
<td>Automated indexes, lists, registers, and other finding aids</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>used to provide access to records.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**RetentionPolicy Codes**
- AC - After closed, terminated, completed, expired or settled
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For Reference Only

UT Departments Must Use UT Codes

For the official State of Texas Records Retention Schedule refer to:
## System Monitoring Records
Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.

## Chargeback Records to Data Processing Services Users
Records used to document, calculate costs, and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.

## Computer Job Schedules and Reports
Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.

## Data Processing Policies and Procedures
Manuals, guidelines, or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.

## Batch Data Entry Control Records
Forms and logs used to reconcile batches submitted for processing against batches received and processed.

### Retention Codes
- **AC**: After closed, terminated, completed, expired or settled
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**For Reference Only**

**UT Departments Must Use UT Codes**
### Texas State Records Retention Schedule

**Category 2: Electronic Data Processing Records**

**Section 2.2 - Computer Operations and Technical Support**

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Total</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.2.012</td>
<td>Output Records for Computer Production</td>
<td>X AV</td>
<td>AC = No longer needed as an audit trail for any records modified.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.2.013</td>
<td>Quality Assurance Records</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Internet Cookies</td>
<td>AV</td>
<td>The disposal of Internet cookies need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).</td>
</tr>
<tr>
<td>2.2.014</td>
<td>History Files - Web Sites</td>
<td>AV</td>
<td>The disposal of history files need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).</td>
</tr>
<tr>
<td></td>
<td>Software Registrations, Warranties and License Agreements</td>
<td>X LA + 5</td>
<td></td>
</tr>
</tbody>
</table>

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<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Vital</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.1.001</td>
<td>Applications for Employment - Not Hired</td>
<td></td>
<td>2</td>
<td>29 CFR 1602.31 [State Agencies].</td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td></td>
<td></td>
<td>29 CFR 1602.49(a) [State Universities].</td>
</tr>
<tr>
<td>3.1.002</td>
<td>Applications for Employment - Hired</td>
<td></td>
<td>AC + 5</td>
<td>AC = Termination of employment.</td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.1.006</td>
<td>Employee Counseling Records</td>
<td></td>
<td>AC + 3</td>
<td>AC = Termination of counseling.</td>
</tr>
<tr>
<td></td>
<td>Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisory level except in those agencies with counseling staff.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.1.011</td>
<td>Employee Insurance Records</td>
<td></td>
<td>AC</td>
<td>AC = Until superseded or termination of employment.</td>
</tr>
<tr>
<td></td>
<td>Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.</td>
<td></td>
<td></td>
<td>CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.</td>
</tr>
</tbody>
</table>

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**Archival Codes** - See page ix.
- A - Transfer to Archives and Information Services Division
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### Texas State Records Retention Schedule

**Category 3: Personnel Records**  
**Section 3.1 - Employee**

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Vital</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
</table>
| 3.1.012  | Employment Opportunity Announcements | X              | 2               | 29 CFR 1602.31 [State Agencies].  
29 CFR 1602.49(a) [State Universities]. |
| 3.1.013  | Employment Contracts | X              | AC + 4          | AC = Expiration or termination of the contract according to its terms. |
| 3.1.014  | Employment Selection Records | X              | 2               | 29 CFR 1602.31 [State Agencies].  
29 CFR 1602.49(a) [State Universities]. |
| 3.1.018  | Grievance Records | X              | AC + 2          | AC = Final decision on the grievance.  
CAUTION: Does not include criminal history checks. SEE item number 3.1.026. |
| 3.1.019  | Performance Appraisals |               | 2               | 29 CFR 1620.32(c). |

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<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.1.020</td>
<td>Personnel Corrective Action Documentation</td>
<td></td>
<td>AC + 5</td>
<td>AC = Termination of corrective action.</td>
</tr>
<tr>
<td></td>
<td>Corrective actions are those actions which do not affect</td>
<td></td>
<td></td>
<td>CAUTION: If, during the retention period of this</td>
</tr>
<tr>
<td></td>
<td>pay, status, or tenure and are imposed to correct or</td>
<td></td>
<td></td>
<td>records series, any part of this series is</td>
</tr>
<tr>
<td></td>
<td>improve an employee’s job performance.</td>
<td></td>
<td></td>
<td>used to document and support personnel</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>disciplinary action under item number 3.1.021,</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>all documentation from this series used to</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>support disciplinary action must be</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>retained for the minimum retention period</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>described by item number 3.1.021.</td>
</tr>
<tr>
<td>• 3.1.021</td>
<td>Personnel Disciplinary Action Documentation</td>
<td>X</td>
<td>AC + 5</td>
<td>AC = Termination of employment.</td>
</tr>
<tr>
<td></td>
<td>Disciplinary actions are those actions which may affect</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>pay, status, or tenure. They are imposed to discipline an</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>employee whose conduct is harmful to the best interests of</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>the state, the agency, or the employee work force; and</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>for failure to improve performance or conduct following</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>imposition of corrective action. May include cause for</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>demotion, suspension, or dismissal, and the reasons for</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>failure to give written notice of resignation. May also</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>be used to document evidence of employee self-improvement</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>efforts, as well as favorable and unfavorable communication.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.1.022</td>
<td>Personnel Information or Action Forms</td>
<td></td>
<td>2</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Forms or similar records used to create or change</td>
<td></td>
<td></td>
<td>29 CFR 1602.31 [State Agencies].</td>
</tr>
<tr>
<td></td>
<td>information concerning the records of an employee</td>
<td></td>
<td></td>
<td>29 CFR 1602.49(a) [State Universities].</td>
</tr>
<tr>
<td></td>
<td>including pay grade, position classification, employee</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>number, evaluation date, and termination of employment.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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- A C - After closed, terminated, completed, expired or settled
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**Archival Codes** - See page ix.
- A - Transfer to Archives and Information Services Division
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## Texas State Records Retention Schedule

### Category 3: Personnel Records

#### Section 3.1 - Employee

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Vital</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.1.023</td>
<td><strong>Position/Job Descriptions</strong>&lt;br&gt;Job descriptions, including all associated task or skill statements, for positions in an agency.</td>
<td>X</td>
<td>AC + 4</td>
<td>AC = Until superseded or job eliminated. 40 TAC 815.106(j).</td>
</tr>
<tr>
<td>3.1.024</td>
<td><strong>Physical Examinations/Medical Reports</strong>&lt;br&gt;Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.</td>
<td></td>
<td>AC + 2</td>
<td>AC = Until superseded or termination of employment. CAUTION: Does not include pre-employment physical examinations. SEE item number 3.1.014.</td>
</tr>
<tr>
<td>3.1.026</td>
<td><strong>Criminal History Checks</strong>&lt;br&gt;Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).</td>
<td></td>
<td>AC</td>
<td>AC = The criminal history record has served the immediate purpose for which it was obtained. CAUTION: An agency that is authorized to obtain criminal history record information from DPS must refer to its agency’s legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.</td>
</tr>
<tr>
<td>3.1.027</td>
<td><strong>Training and Educational Achievement Records (Individual)</strong>&lt;br&gt;Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.</td>
<td></td>
<td>AC + 5</td>
<td>AC = Termination of employment.</td>
</tr>
</tbody>
</table>

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- A C - After closed, terminated, completed, expired or settled
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# Texas State Records Retention Schedule

## Category 3: Personnel Records

### Section 3.1 - Employee

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Vital</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.1.029</td>
<td>Employment Eligibility, Documentation or Verification of Federal reporting form (INS I-9).</td>
<td>X</td>
<td>AC + 1</td>
<td>AC = Termination of employment. CAUTION: Federal regulation requires that INS I-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period. 8 CFR 274a.2(b)(2)(i)(A) and (c)(2).</td>
</tr>
<tr>
<td>3.1.031</td>
<td>Employee Benefits - Other than Insurance - Agency copies of information relating to the selection of available benefit options other than insurance.</td>
<td>X</td>
<td>AC + 2</td>
<td>AC = Until superseded or termination of employment CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.</td>
</tr>
<tr>
<td>3.1.034</td>
<td>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.</td>
<td>AV</td>
<td></td>
<td>SEE item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.</td>
</tr>
</tbody>
</table>

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For Reference Only

UT Departments Must Use UT Codes

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Effective July 4, 2012
### Texas State Records Retention Schedule

#### Category 3: Personnel Records

#### Section 3.1 - Employee

<table>
<thead>
<tr>
<th>Item No.</th>
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<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
</table>
| 3.1.035  | **Performance Bonds**                           | X              | AC + 4          | AC = Expiration or termination of the bond according to its terms.
|          | Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency. |                |                 | CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028. |
| 3.1.036  | **Apprenticeship Records**                      |                | 5               | 29 CFR 30.8(c). |
|          | 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. |                |                 |         |
| 3.1.037  | **Employee Recognition Records**                |                | AC + 5          | AC = Termination of employment. |
|          | Awards, incentives, tenure, etc.                |                |                 |         |
| 3.1.038  | **Public Access Option Form**                   | X              | US              | SEE item number 3.3.011. |
|          | 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. |                |                 |         |

**RetentionPolicy**

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**UT Departments Must Use UT Codes**

For Reference Only

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## Texas State Records Retention Schedule

### Category 3: Personnel Records

#### Section 3.1 - Employee

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Vital</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>• 3.1.039</td>
<td>Ombudsman Records</td>
<td>AC</td>
<td></td>
<td>AC = Final decision or matter closed.</td>
</tr>
</tbody>
</table>

Consultation records, notes, letters, memos, emails, reports and other documentation.

CAUTION: Does not include formal complaint filed with EEO. If matter becomes a grievance or the subject of counseling or litigation, or employee is subject to disciplinary action, the records are subject to retention in the appropriate records series. SEE 1.1.048, 3.1.006, 3.1.018, 3.1.020, and 3.1.021.

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## Texas State Records Retention Schedule

### Category 3: Personnel Records

#### Section 3.2 - Payroll

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.2.001</td>
<td>Employee Deduction Authorizations</td>
<td>X</td>
<td>AC + 4</td>
<td>AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.</td>
</tr>
<tr>
<td></td>
<td>Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.2.002</td>
<td>Employee Earnings Records</td>
<td>X</td>
<td>4</td>
<td>40 TAC 815.106(i).</td>
</tr>
<tr>
<td>3.2.003</td>
<td>Federal Tax Records</td>
<td>X</td>
<td>AC + 4</td>
<td>AC = Tax due date, date claim is filed, or date tax is paid whichever is later.</td>
</tr>
<tr>
<td></td>
<td>Includes 1099, W2, FICA, and other tax records.</td>
<td></td>
<td></td>
<td>26 CFR 31.6001-1(e)(2).</td>
</tr>
<tr>
<td>3.2.004</td>
<td>Income Adjustment Authorizations</td>
<td>X</td>
<td>2</td>
<td>29 CFR 516.6(c).</td>
</tr>
<tr>
<td></td>
<td>Used to make increases or decreases to employees’ gross pay, FICA, retirement, or in the computation of taxes.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.2.005</td>
<td>W-4 Forms</td>
<td>X</td>
<td>AC + 4</td>
<td>AC = Until superseded, obsolete, or upon separation of employee.</td>
</tr>
<tr>
<td>3.2.006</td>
<td>Wage Rate Tables</td>
<td>X</td>
<td>2</td>
<td>29 CFR 516.6(a)(2).</td>
</tr>
<tr>
<td>3.2.007</td>
<td>Unemployment Compensation Records</td>
<td></td>
<td>AC + 5</td>
<td></td>
</tr>
<tr>
<td>3.2.008</td>
<td>Direct Deposit Application/Authorizations</td>
<td>X</td>
<td>US</td>
<td></td>
</tr>
</tbody>
</table>

### Retention Codes
- AC - After closed, terminated, completed, expired or settled
- AV - As long as administratively valuable
- CE - Calendar Year End
- FE - Fiscal Year End

### Archival Codes
- A - Transfer to Archives and Information Services Division
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- PM - Permanent
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For the official State of Texas Records Retention Schedule refer to: [https://www.tsl.state.tx.us/sites/default/files/public/tslac/slrm/recordspubs/RRS4_Revised.pdf](https://www.tsl.state.tx.us/sites/default/files/public/tslac/slrm/recordspubs/RRS4_Revised.pdf)
## Texas State Records Retention Schedule

### Category 3: Personnel Records

#### Section 3.2 - Payroll

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.209</td>
<td>State Deferred Compensation Records</td>
<td>X</td>
<td>AC + 5</td>
<td>AC = All accounts with a vendor or vendors for the individual participant have been closed. For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the Benefits Coordinator Reference Manual issued by the Employees Retirement System of Texas.</td>
</tr>
<tr>
<td>3.2010</td>
<td>Human Resources Information System (HRIS) Reports</td>
<td>X</td>
<td>AC + 4</td>
<td></td>
</tr>
</tbody>
</table>

**For Reference Only**

**UT Departments Must Use UT Codes**

---

**Retention Codes** - All retention periods are subject to the caution statement on page ii.

- AC - After closed, terminated, completed, expired or settled
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**Archival Codes** - See page ix.

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- R - Review required before disposal
## Texas State Records Retention Schedule

**Category 3: Personnel Records**

### Section 3.3 - Personnel Administration

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Vital</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.3.001</td>
<td>Affirmative Action Plans</td>
<td></td>
<td>5</td>
<td>29 CFR 30.8(c) for apprenticeship plans.</td>
</tr>
<tr>
<td></td>
<td>Affirmative action plans for both regular employees and</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>apprenticeship programs.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.3.004</td>
<td>Benefit Plans</td>
<td></td>
<td>US + 1</td>
<td>29 CFR 1627.3(b)(2).</td>
</tr>
<tr>
<td></td>
<td>Employee benefit plans such as pension; life, health, and</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>disability insurance; deferred compensation; etc., including</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>amendments.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.3.010</td>
<td>Labor Statistics Reports</td>
<td></td>
<td>3</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Reports providing statistical information on labor force.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• 3.3.011</td>
<td>Former Employee Verification Records</td>
<td>X</td>
<td>AC + 75</td>
<td>AC = Termination of employment.</td>
</tr>
<tr>
<td></td>
<td>Minimum information needed to verify employment, includes</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>name, social security number, exact dates of employment, last</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>known address and most recent public access option form.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.3.015</td>
<td>Positions/Job Classification Review File</td>
<td></td>
<td>US + 3</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Records relating to review and monitoring of job classifications within an agency.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.3.020</td>
<td>Work Schedules/Assignments</td>
<td></td>
<td>1</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Work, duty, shift, crew, or case schedules, rosters, or assignments.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.3.022</td>
<td>Texas Workforce Commission (TWC) Reports</td>
<td></td>
<td>5</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Reports to the agency from TWC or its predecessor pertaining to employees.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Retention Codes** - All retention periods are subject to the caution statement on page ii.

A C - After closed, terminated, completed, expired or settled

A V - As long as administratively valuable

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FE - Fiscal Year End

**Archival Codes** - See page ix.

A - Transfer to Archives and Information Services Division

R - Review required before disposal
### Texas State Records Retention Schedule
#### Category 3: Personnel Records
Section 3.3 - Personnel Administration

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Code</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.3.023</td>
<td>Reimbursable Activities, Requests and Authorizations to Engage in</td>
<td></td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.3.024</td>
<td>Personnel Policies and Procedures</td>
<td></td>
<td>US + 3</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.3.025</td>
<td>Job Procedure Records</td>
<td></td>
<td>US + 3</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.3.026</td>
<td>Agency Staffing Reports</td>
<td></td>
<td>US + 3</td>
<td></td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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## Texas State Records Retention Schedule

### Category 3: Personnel Records

#### Section 3.3 - Personnel Administration

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Vitality</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
</table>
| 3.3.027  | **Aptitude and Skills Tests**<br>Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer. | | US + 2 | 29 CFR 1602.31 [State Agencies].
|          |                     |                   |                 | 29 CFR 1602.49 [State Universities].
|          |                     |                   |                 | CAUTION: One copy of each different test (different in terms of either questions or administrative procedures) should be retained for the period indicated. |
| 3.3.028  | **Aptitude and Skills Tests (Test Papers)**<br>Aptitude and skills test papers of job applicants or of current personnel taking a test to qualify for promotion or transfer. | | 2 | 29 CFR 1602.31 [State Agencies].
|          |                     |                   |                 | 29 CFR 1602.49 [State Universities]. |
| 3.3.029  | **Aptitude and Skills Tests (Validation Records)**<br>Records of the validation of aptitude and skills tests. | AC = As long as the test is used by an agency. | AC + 2 | 29 CFR 1602.31 [State Agencies].
|          |                     |                   |                 | 29 CFR 1602.49 [State Universities]. |
| 3.3.030  | **Training Administration Records**<br>Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern an agency’s programs, services, or projects. | | US + 2 | CAUTION: Does not include hazardous material training records.
|          |                     |                   |                 | SEE item number 5.4.007. |
| 3.3.031  | **EEO Reports and Supporting Documentation**<br>Includes documentation used to complete EEO reports. | | 3 | 29 CFR 1602.32, 1602.39, 1602.41, 1602.48 and 1602.50. |

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For Reference Only

UT Departments Must Use UT Codes

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<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.3.032</td>
<td>Equal Pay Records</td>
</tr>
</tbody>
</table>

Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the federal Equal Pay Act.

**Archival Vital**

**Total Retention**

**Comments**

29 CFR 1620.32.

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**For Reference Only**

**UT Departments Must Use UT Codes**

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**RetentionPolicy**

- **Archival Codes** - See page ix.
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# Texas State Records Retention Schedule
## Category 3: Personnel Records
### Section 3.4 - Time and Leave

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Vital</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.4.001</td>
<td>Accumulated Leave Adjustment Requests</td>
<td>Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances on August 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.</td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td>3.4.002</td>
<td>Leave Status Reports</td>
<td>Cumulative report is issued each pay cycle and provides employee leave status information for each position.</td>
<td>X</td>
<td>FE + 3</td>
</tr>
<tr>
<td>3.4.003</td>
<td>Less Than Full-Time Worked Reports</td>
<td>Dates and hours.</td>
<td>4</td>
<td>40 TAC 815.106(i).</td>
</tr>
<tr>
<td>3.4.004</td>
<td>Overtime Authorizations</td>
<td></td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>3.4.005</td>
<td>Overtime Schedules</td>
<td></td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>3.4.006</td>
<td>Time Cards and Time Sheets</td>
<td></td>
<td>4</td>
<td>40 TAC 815.106(i).</td>
</tr>
<tr>
<td>3.4.007</td>
<td>Time Off and/or Sick Leave Requests</td>
<td></td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td>3.4.008</td>
<td>Sick Leave Pool Documentation</td>
<td>Requests submitted, approvals, number of hours transferred in and out, etc.</td>
<td>FE + 3</td>
<td></td>
</tr>
</tbody>
</table>

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### Texas State Records Retention Schedule

**Category 4: Fiscal Records**

#### 4.1 - Worksheets, Detail Information on Financial Event or Transaction

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Total</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.1.001</td>
<td>Accounts Payable Information</td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td>4.1.002</td>
<td>Billing Detail</td>
<td>FE + 3</td>
<td>CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.</td>
</tr>
<tr>
<td>4.1.003</td>
<td>Canceled Checks/Stub/Warrant/Drafts</td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td>4.1.004</td>
<td>Encumbrance Detail</td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td>4.1.005</td>
<td>Inventory and Other Cost Files</td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td>4.1.006</td>
<td>Investment Transaction Files</td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td>4.1.007</td>
<td>Transfers or Budget Revisions</td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td>4.1.008</td>
<td>Electronic Fund Transfers</td>
<td>FE + 3</td>
<td></td>
</tr>
</tbody>
</table>

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<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Vital</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.2.001</td>
<td>Cash Deposit Vouchers</td>
<td></td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Cash deposit slips.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.2.002</td>
<td>Cash Receipts</td>
<td></td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Includes receipts for fees (permits, licenses, renewals, etc.)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.2.003</td>
<td>Daily Cash Receipts Logs</td>
<td></td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td>4.2.004</td>
<td>Encumbrance Vouchers</td>
<td></td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Orders, statements, change orders, etc.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.2.005</td>
<td>Purchase Vouchers</td>
<td></td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.2.006</td>
<td>General Journal Vouchers</td>
<td></td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td>4.2.007</td>
<td>Expenditure Vouchers</td>
<td></td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Travel, payroll, etc.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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## Category 4: Fiscal Records
### Section 4.3 - Journals or Registers

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Vital</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.3.001</td>
<td>Sales Journals or Registers</td>
<td></td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td>4.3.002</td>
<td>Receipts Journals or Registers</td>
<td></td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td>4.3.003</td>
<td>Expenditures Journals or Registers</td>
<td></td>
<td>FE + 3</td>
<td></td>
</tr>
</tbody>
</table>

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## Texas State Records Retention Schedule

### Category 4: Fiscal Records

#### Section 4.4 - Ledgers

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Vital</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.4.001</td>
<td>General and Subsidiary Ledgers</td>
<td>X</td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td>4.4.002</td>
<td>Accounts Receivable Ledgers</td>
<td>X</td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td>4.4.003</td>
<td>Accounts Payable Ledgers</td>
<td></td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td>4.4.004</td>
<td>Employee Savings Bond Ledgers</td>
<td>X</td>
<td>FE + 3</td>
<td></td>
</tr>
</tbody>
</table>

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- R - Review required before disposal

Effective July 4, 2012

For the official State of Texas Records Retention Schedule refer to: [https://www.tsl.state.tx.us/sites/default/files/public/tslac/slrm/recordspubs/RRS4_Revised.pdf](https://www.tsl.state.tx.us/sites/default/files/public/tslac/slrm/recordspubs/RRS4_Revised.pdf)


<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Vital</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.5.001</td>
<td>Worksheets for Preparing Fiscal Reports</td>
<td>FE + 3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.5.002</td>
<td>Internal Fiscal Management Reports</td>
<td>FE + 3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.5.003</td>
<td>Annual Financial Reports</td>
<td>AC + 6</td>
<td></td>
<td>AC = September 1 of odd-numbered calendar years. CAUTION: If an agency does not produce a biennial or annual narrative report as described in item number 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.</td>
</tr>
<tr>
<td>4.5.005</td>
<td>External Fiscal Reports</td>
<td>FE + 3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.5.006</td>
<td>Annual Operating Budgets</td>
<td>FE + 3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.5.007</td>
<td>USAS Reports - Daily</td>
<td>AC</td>
<td></td>
<td>AC = Receipt and reconciliation of monthly report.</td>
</tr>
<tr>
<td>4.5.008</td>
<td>USAS Reports - Monthly</td>
<td>AC</td>
<td></td>
<td>AC = Receipt and reconciliation of annual report.</td>
</tr>
<tr>
<td>4.5.009</td>
<td>USAS Reports - Annual</td>
<td>FE + 3</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Retention Codes**
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**Archival Codes**
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### Texas State Records Retention Schedule

**Category 4: Fiscal Records**

#### 4.6 - Documents Showing Compliance with System of Internal Control

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.6.001</td>
<td>Balancing Records</td>
<td></td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td>4.6.002</td>
<td>Reconciliations</td>
<td></td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td>4.6.003</td>
<td>Cash Counts</td>
<td></td>
<td>FE + 3</td>
<td></td>
</tr>
</tbody>
</table>

For Reference Only

UT Departments Must Use UT Codes

For the official State of Texas Records Retention Schedule refer to:
<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.7.002</td>
<td>Bank Statements</td>
<td></td>
<td>FE + 3</td>
<td>AC = Resolution of claim.</td>
</tr>
<tr>
<td>4.7.003</td>
<td>Returned Checks/Warrants/Drafts (Uncollectable)</td>
<td></td>
<td>AC + 3</td>
<td>AC = Resolution of claim.</td>
</tr>
<tr>
<td>4.7.004</td>
<td>Capital Asset Records</td>
<td></td>
<td>FE + 3</td>
<td>AC = After deemed uncollectable.</td>
</tr>
<tr>
<td>4.7.005</td>
<td>Claim Files</td>
<td>X</td>
<td>AC + 3</td>
<td>AC = Resolution of claim.</td>
</tr>
<tr>
<td>4.7.006</td>
<td>Comptroller Statements</td>
<td></td>
<td>FE + 3</td>
<td>AC = Resolution of claim.</td>
</tr>
<tr>
<td>4.7.007</td>
<td>Detail Chart of Accounts</td>
<td></td>
<td>FE + 3</td>
<td>AC = Resolution of claim.</td>
</tr>
<tr>
<td>4.7.008</td>
<td>Federal Grant Records</td>
<td>X</td>
<td>AC + 3</td>
<td>AC = Satisfaction of all Uniform Administrative Requirements for Grants</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>and Cooperative Agreements to State and Local Governments (the Common</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Rule).</td>
</tr>
<tr>
<td>4.7.009</td>
<td>Fixed Asset Sequential Number Logs</td>
<td></td>
<td>US + 3</td>
<td>AC = Retirement of debt.</td>
</tr>
<tr>
<td>4.7.010</td>
<td>Long-Term Liability Records</td>
<td>X</td>
<td>AC + 3</td>
<td>AC = Retirement of debt.</td>
</tr>
</tbody>
</table>

For Reference Only

UT Departments Must Use UT Codes

RetentionPolicy

Category 4: Fiscal Records
Section 4.7 - Other Fiscal

For the official State of Texas Records Retention Schedule refer to:
## Texas State Records Retention Schedule

**Category 4: Fiscal Records**

**Section 4.7 - Other Fiscal**

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.7.011</td>
<td>Texas Building and Procurement Commission Statements (TBPC)</td>
<td>FE + 3</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Charge or bill statements received by agencies from the TBPC for services provided.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.7.012</td>
<td>Signature Authorizations</td>
<td>US + FE + 3</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Retention Codes

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### Archival Codes

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- **R** - Review required before disposal

For Reference Only

UT Departments Must Use UT Codes
### Texas State Records Retention Schedule

#### Category 5: Support Services Records

**Section 5.1 - General**

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Vital</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.1.001</td>
<td>Contracts and Leases</td>
<td>X</td>
<td>AC + 4</td>
<td>AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.</td>
</tr>
<tr>
<td>5.1.003</td>
<td>Delivery Reports</td>
<td></td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>5.1.004</td>
<td>Mail and Telecommunications Listings</td>
<td></td>
<td>US</td>
<td></td>
</tr>
<tr>
<td>5.1.005</td>
<td>Postage Records</td>
<td></td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td>5.1.007</td>
<td>Requisitions for In-Agency/Inter-Agency Copy/Printing Service</td>
<td></td>
<td>AV</td>
<td></td>
</tr>
<tr>
<td>5.1.010</td>
<td>Licenses and Permits for Non-vehicles</td>
<td>X</td>
<td>AC + 2</td>
<td>AC = Expiration date of license or permit.</td>
</tr>
</tbody>
</table>

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<tr>
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<th>Archival Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.1.011</td>
<td>Photocopier and Telefax Usage Logs &amp; Reports</td>
<td>AV</td>
<td></td>
</tr>
<tr>
<td>5.1.012</td>
<td>Charge Schedules/Price Lists</td>
<td>US + 3</td>
<td></td>
</tr>
<tr>
<td>5.1.013</td>
<td>Insurance Policies</td>
<td>X</td>
<td>AC + 4</td>
</tr>
<tr>
<td>5.1.014</td>
<td>Office Procedures</td>
<td>US + 1</td>
<td></td>
</tr>
<tr>
<td>5.1.015</td>
<td>Correspondence Tracking Records</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• 5.1.016 Records series now included in 1.1.057.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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## Texas State Records Retention Schedule

### Category 5: Support Services Records

#### Section 5.1 - General

<table>
<thead>
<tr>
<th>Item No.</th>
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<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.1.017</td>
<td><strong>Contract Log</strong></td>
<td></td>
<td>FE + 3</td>
<td></td>
</tr>
</tbody>
</table>

- **Contract Log**
  - List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.

---

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## Texas State Records Retention Schedule

### Category 5: Support Services Records
#### Section 5.2 - Facility Management

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.2.001</td>
<td>Appraisals - Building or Property</td>
<td>X R AV</td>
<td></td>
<td>AC = Completion of project. SEE ALSO item numbers 5.2.003 and 5.2.028.</td>
</tr>
<tr>
<td>5.2.002</td>
<td>Building Construction Project Files</td>
<td>X R AC+10</td>
<td></td>
<td>AC = For leased buildings; termination or cancellation of lease. SEE ALSO item numbers 5.2.002 and 5.2.028.</td>
</tr>
<tr>
<td>5.2.003</td>
<td>Building Plans and Specifications</td>
<td>X R State</td>
<td></td>
<td>Leased: ARCHIVES NOTE: Archival review designation is for state-owned buildings only.</td>
</tr>
<tr>
<td>5.2.004</td>
<td>Building Space Requests</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.2.005</td>
<td>Calibration Records (Equipment or Instrument)</td>
<td>10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.2.006</td>
<td>Property Destruction, Certificates of Damage</td>
<td>FE+3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.2.007</td>
<td>Damage Reports</td>
<td>FE+3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.2.008</td>
<td>Equipment History File; Equipment Service Agreements</td>
<td>LA+3</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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## Texas State Records Retention Schedule

**Category 5: Support Services Records**

**Section 5.2 - Facility Management**

### Item No. 5.2.009
**Record Series Title:** Equipment Inventory Detail Report Forms

Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.

**Archival Codes:**
- FE (Fiscal year end)

**Total Retention:**
- 3 years

**Comments:**
- AC = Expiration of Warranty.

### Item No. 5.2.010
**Record Series Title:** Equipment Manuals

LA (Life of asset)

### Item No. 5.2.011
**Record Series Title:** Equipment Warranties

AC (After closed, terminated, completed, expired or settled) + 1 year

**Comments:**
- AC = Expiration of Warranty.

### Item No. 5.2.012
**Record Series Title:** Estimate Files (Supply and Repair Cost Estimates)

1 year

### Item No. 5.2.014
**Record Series Title:** Inventory - Annual Physical

Property, equipment, supply verification.

FE (Fiscal year end) + 3 years

### Item No. 5.2.015
**Record Series Title:** Inventory, Notices of Equipment Removed From

FE (Fiscal year end) + 3 years

### Item No. 5.2.016
**Record Series Title:** Inventory System Update Listings

AC (After closed, terminated, completed, expired or settled)

**Comments:**
- AC = Transfer of information into annual listing.

### Item No. 5.2.017
**Record Series Title:** Lost & Stolen Property Reports

FE (Fiscal year end) + 3 years

### Item No. 5.2.018
**Record Series Title:** Quality Control Reports

2 years

### Item No. 5.2.019
**Record Series Title:** Service Orders

Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks.

1 year

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**Category 5: Support Services Records**

**Section 5.2 - Facility Management**

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<tr>
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<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.2.020</td>
<td>Supply Usage Records</td>
<td></td>
<td>FE + 1</td>
<td></td>
</tr>
<tr>
<td>5.2.021</td>
<td>Surplus Property Sale Reports</td>
<td></td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td>5.2.022</td>
<td>Utility Usage Reports</td>
<td></td>
<td>AV</td>
<td></td>
</tr>
<tr>
<td>5.2.023</td>
<td>Year-to-Date Activity (Inventory Listing)</td>
<td></td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Shows additions, changes, transfers, and deletions of</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>information within the inventory system. Data include</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>agency, division, tag number, batch, document,</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>transaction date, location, item code, description,</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>date, and cost.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.2.024</td>
<td>Material Specifications</td>
<td></td>
<td>AC + 2</td>
<td>AC = Material is no longer in the agency</td>
</tr>
<tr>
<td>5.2.025</td>
<td>Equipment Descriptions and Specifications</td>
<td></td>
<td>AC + 2</td>
<td>AC = Equipment is no longer in the agency</td>
</tr>
<tr>
<td>5.2.026</td>
<td>Facilities Reservation Logs</td>
<td></td>
<td>2</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Reservation logs or similar records relating to the use</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>of agency facilities such as meeting rooms, auditoriums,</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>etc.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.2.027</td>
<td>Space Utilization Reports</td>
<td></td>
<td>AV</td>
<td></td>
</tr>
<tr>
<td>5.2.028</td>
<td>Building Construction Contract and Inspection Records</td>
<td>X R LA + 10</td>
<td></td>
<td>SEE ALSO item numbers 5.2.002 and 5.2.003</td>
</tr>
<tr>
<td></td>
<td>Building construction contracts, surety bonds, and</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>inspection records.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.3.002</td>
<td>Freight Bills Paid</td>
<td>FE + 3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.3.003</td>
<td>Freight Claims</td>
<td></td>
<td>AC + 2</td>
<td>AC = Resolution of claim.</td>
</tr>
<tr>
<td>5.3.004</td>
<td>Order - Acknowledgments</td>
<td>AV</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.3.005</td>
<td>Packing Slips</td>
<td>AV</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.3.007</td>
<td>Bid Documentation</td>
<td>FE + 3</td>
<td></td>
<td>CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001 and 5.2.028.</td>
</tr>
<tr>
<td>5.3.008</td>
<td>Purchasing Logs</td>
<td>FE + 3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.3.009</td>
<td>Requests for Information</td>
<td></td>
<td>AC</td>
<td>AC = Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.</td>
</tr>
</tbody>
</table>

**Category 5: Support Services Records**

**Section 5.3 - Purchasing**

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- US - Until superseded

**Archival Codes** - See page ix.

- A - Transfer to Archives and Information Services Division
- R - Review required before disposal
# Texas State Records Retention Schedule

## Category 5: Support Services Records

### Section 5.4 - Risk Management

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Vital</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.4.001</td>
<td><strong>Accident Reports and Associated Documentation</strong></td>
<td>X</td>
<td>CE + 5</td>
<td>29 CFR 1904.33. The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.</td>
</tr>
<tr>
<td>5.4.002</td>
<td><strong>Evacuation Plans</strong></td>
<td></td>
<td>US</td>
<td></td>
</tr>
<tr>
<td>5.4.003</td>
<td><strong>Inspection Records</strong></td>
<td></td>
<td>AC + 3</td>
<td>AC = Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency. CAUTION: Does not include inspection reports of building construction. SEE item number 5.2.028.</td>
</tr>
<tr>
<td>5.4.004</td>
<td><strong>Fire Orders</strong></td>
<td></td>
<td>AC + 3</td>
<td>AC = Deficiency corrected.</td>
</tr>
<tr>
<td>5.4.007</td>
<td><strong>Hazardous Materials Training Records</strong></td>
<td></td>
<td>5</td>
<td>Texas Health and Safety Code, 502.009(g).</td>
</tr>
<tr>
<td>5.4.008</td>
<td><strong>Hazard Communication Plans</strong></td>
<td>X</td>
<td>US + 5</td>
<td>Texas Health and Safety Code, 502.009(g).</td>
</tr>
</tbody>
</table>

**For Reference Only**

**UT Departments Must Use UT Codes**

**Retention Codes** - All retention periods are subject to the caution statement on page ii.
- AC - After closed, terminated, completed, expired or settled
- AV - As long as administratively valuable
- CE - Calendar Year End
- FE - Fiscal Year End
- LA - Life of Asset
- PM - Permanent
- US - Until Superseded

**Archival Codes** - See page ix.
- A - Transfer to Archives and Information Services Division
- R - Review required before disposal
## Texas State Records Retention Schedule

**Category 5: Support Services Records**

**Section 5.4 - Risk Management**

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.4.009</td>
<td>Workplace Chemical Lists</td>
<td></td>
<td>30</td>
<td>Texas Health and Safety Code, 502.005(d).</td>
</tr>
<tr>
<td>5.4.010</td>
<td>Material Safety Data Sheets</td>
<td></td>
<td>AC</td>
<td>AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.</td>
</tr>
<tr>
<td>5.4.011</td>
<td>Visitor Control Registers</td>
<td></td>
<td>3</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.4.012</td>
<td>Security Access Records</td>
<td>X</td>
<td>AC + 2</td>
<td>AC = Until superseded, date of expiration, or date of termination, whichever sooner.</td>
</tr>
<tr>
<td></td>
<td>Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency facilities, equipment or automated systems.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.4.013</td>
<td>Disaster Preparedness and Recovery Plans</td>
<td>X</td>
<td>US</td>
<td></td>
</tr>
</tbody>
</table>

**Retention Codes** - All retention periods are subject to the caution statement on page ii.

- AC - After closed, terminated, completed, expired or settled
- AV - As long as administratively valuable
- CE - Calendar year end
- FE - Fiscal year end
- LA - Life of asset
- PM - Permanent
- US - Until superseded
- AC - Transfer to Archives and Information Services Division
- R - Review required before disposal
### Texas State Records Retention Schedule

**Category 5: Support Services Records**

**Section 5.5 - Telecommunications**

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Total</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.5.001</td>
<td>Billing Detail - Telecommunications (Other Than TEX-AN)</td>
<td>FE + 3</td>
<td>SEE item number 5.5.006 for TEX-AN billing detail.</td>
</tr>
<tr>
<td></td>
<td>In addition to summary detail, includes any accompanying detailed listing of long distance calls.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.5.002</td>
<td>Long Distance Telephone Logs</td>
<td>AV</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Long distance logs created by agencies for internal documentation purposes. Includes any similar logs created for long distance facsimile or electronic transmissions.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.5.003</td>
<td>Station Activity Reports</td>
<td>AV</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Internal listing of incoming/outgoing telephone activity to individual telephone stations.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.5.004</td>
<td>System Activity Reports</td>
<td>AV</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Internal listing of all incoming/outgoing agency telephone activity.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.5.006</td>
<td>Billing Detail - Telecommunications (TEX-AN)</td>
<td>FE + 3</td>
<td>The billing agency will maintain all long distance TEX-AN records and will provide each using agency its bill summary of centralized capitol complex telephone service without call detail records. For these bill summaries, SEE item number 4.7.011. SEE item number 5.5.001 for billing detail from carriers other than TEX-AN.</td>
</tr>
<tr>
<td></td>
<td>In addition to summary detail, includes any accompanying detailed listing of long distance calls.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.5.007</td>
<td>Disputed Call Documentation</td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Retention Codes** - All retention periods are subject to the caution statement on page ii.

- A C - After closed, terminated, completed, expired or settled
- A V - As long as administratively valuable
- CE - Calendar Year End
- FE - Fiscal Year End
- LA - Life of Asset
- PM - Permanent
- US - Until Superseded

**Archival Codes** - See page ix.

- A - Transfer to Archives and Information Services Division
- R - Review required before disposal
### Texas State Records Retention Schedule

**Category 5: Support Services Records**  
**Section 5.6 - Vehicles**

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Vital</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.6.001</td>
<td>Airplane Flight Logs</td>
<td></td>
<td></td>
<td>State owned: LA + 3 Leased: FE + 3</td>
</tr>
<tr>
<td>5.6.002</td>
<td>Airplane Passenger Lists</td>
<td></td>
<td>FE + 3</td>
<td></td>
</tr>
<tr>
<td>5.6.003</td>
<td>Inspection Repair and Maintenance Records - Vehicles</td>
<td></td>
<td>LA + 1</td>
<td></td>
</tr>
<tr>
<td>5.6.004</td>
<td>License and Driving Record Checks</td>
<td></td>
<td>AC, AC = Until superseded or until termination of employment.</td>
<td></td>
</tr>
<tr>
<td>5.6.005</td>
<td>Vehicle Use Reports</td>
<td>X</td>
<td>FE + 3</td>
<td></td>
</tr>
</tbody>
</table>

- Includes mileage, fuel/oil consumption, passengers carried and other related operational information.

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Series Title</th>
<th>Archival Vital</th>
<th>Total Retention</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.6.007</td>
<td>Vehicle Titles &amp; Registrations</td>
<td></td>
<td>LA</td>
<td></td>
</tr>
<tr>
<td>5.6.008</td>
<td>Pilot License Verifications</td>
<td></td>
<td>AC + 5, AC = Termination of employment.</td>
<td></td>
</tr>
<tr>
<td>5.6.009</td>
<td>Parking Permits or Assignments</td>
<td></td>
<td>US</td>
<td></td>
</tr>
</tbody>
</table>

**Retention Codes** - All retention periods are subject to the caution statement on page ii.  
- AC - After closed, terminated, completed, expired or settled  
- AV - As long as administratively valuable  
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**Archival Codes** - See page ix.  
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For Reference Only  
UT Departments Must Use UT Codes
Notes in Comments Fields

**Note 1** – University of Texas System Component Guidelines: Component Institutions of the University of Texas System must insure that all audit requirements (both state and federal) have been fulfilled prior to final disposition.

**Note 2** – If a machine-readable record is scheduled for permanent retention, technical documentation must also be retained permanently. Documentation may either be in printed or magnetic form. If magnetic, the files and programs needed to print the documentation must be available. See the Texas State Library’s Electronic Rules.

**Note 3** – Administrative Offices within Financial Affairs maintains most master records for this record series. Departments must maintain any original backup that is required but not submitted to Financial Affairs. If the record is imaged, verify that the imaged record is complete and accurate before destroying departmental copies.

**Note 4** - Data may be stored beyond retention requirement if part of an official investigation. For these cases, the Information Security Office, working with the proper authorities, will establish a date on which the data can be deleted.
**NOTES**

**Note 1** – Known audit requirements are taken into account in setting the retention requirement for this record series. However, if a department becomes aware that there are additional audit requirements that extend beyond the listed retention requirement, the department must retain the records until the additional audits are completed.

**Note 2** – Electronic or imaged records must be retrievable and readable for as long as they are retained. In order to sustain the ability to read electronically stored information, departments must plan to maintain original software and hardware or document plans to migrate files through technology changes. System tapes used for data backup or disaster recovery, unless indexed for accessibility, must not be used to satisfy records retention requirements. Refer to Chapter 13 of the Texas Administrative Code rule 6.94.

**Note 3** – Departments are responsible for the integrity of their financial records maintained in the Image Retrieval System (IRS). Departments have additional responsibilities for the completeness and accuracy of imaged and uploaded supporting documentation files. Refer to Handbook of Operating Procedures Part 20.3.3 Financial Records.

**Note 4** – Electronic data, records, or information that are part of an official investigation will be kept beyond its retention requirement by Information Technology Services (ITS) or other administrative units until the investigation and all issues arising from it have been resolved and any further retention requirements have been met.

**Note 5** – Contracts with a private contractor that will create, manage, or maintain state records must expressly provide that the contractor will comply with applicable state laws and University policies relating to the management, access, retention and destruction of state records. Refer to University of Texas at Austin Handbook of Operating Procedures 3-1410 VII.D.5 and Handbook of Business Procedures Part 20.4.4 Contracts Pertaining to State Records.
FE = Fiscal Year End

All the records created in a fiscal year must be kept for the duration of that fiscal year plus the additional number of years listed in the retention code.

For Fiscal 2014-2015

FE + 1 = August 31, 2013
FE + 2 = August 31, 2012
FE + 3 = August 31, 2011
FE + 4 = August 31, 2010
FE + 5 = August 31, 2009
FE + 6 = August 31, 2008
FE + 7 = August 31, 2007
FE + 8 = August 31, 2006
### Records Series Designated as Vital in the Texas Records Retention Schedule

<table>
<thead>
<tr>
<th>State Item Number</th>
<th>UT Code</th>
<th>Record Series Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1.007</td>
<td>AALL020</td>
<td>Administrative Correspondence - Executive</td>
</tr>
<tr>
<td>1.1.011</td>
<td>AALL031</td>
<td>Executive Orders</td>
</tr>
<tr>
<td>1.1.070</td>
<td>AALL058</td>
<td>University Rules Policies and Procedures</td>
</tr>
<tr>
<td>1.1.071</td>
<td>AALL059</td>
<td>University Rules Policies and Procedures--Working Files</td>
</tr>
<tr>
<td>2.1.016</td>
<td>AALL160</td>
<td>Software Registrations, Warranties, and License Agreements</td>
</tr>
<tr>
<td>2.1.002</td>
<td>AALL164</td>
<td>Automated Files- Master files</td>
</tr>
<tr>
<td>2.1.007</td>
<td>AALL170</td>
<td>Programs &amp; Job Control Language Needed to Read Existing Records</td>
</tr>
<tr>
<td>2.1.008</td>
<td>AALL173</td>
<td>Operating System Files &amp; Hardware Documentation</td>
</tr>
<tr>
<td>2.1.009</td>
<td>AALL176</td>
<td>Technical Documentation for Automated Records (including test files)</td>
</tr>
<tr>
<td>2.2.010</td>
<td>AALL185</td>
<td>Information Technologies Policy and Procedures</td>
</tr>
<tr>
<td>2.2.011</td>
<td>AALL186</td>
<td>Batch Data Entry Control Records</td>
</tr>
<tr>
<td>3.1.013</td>
<td>AALL202</td>
<td>Employee Contracts</td>
</tr>
<tr>
<td>3.1.014</td>
<td>AALL204</td>
<td>Staff Recruitment Records</td>
</tr>
<tr>
<td>3.1.014</td>
<td>AALL206</td>
<td>Faculty Recruiting Records</td>
</tr>
<tr>
<td>3.1.018</td>
<td>AALL212</td>
<td>Employment Grievance Records</td>
</tr>
<tr>
<td>3.1.021</td>
<td>AALL218</td>
<td>Personnel Disciplinary Action Documentation</td>
</tr>
<tr>
<td>1.1.057</td>
<td>AALL219</td>
<td>Supervisor's Notes and Files Pertaining to Employee Performance</td>
</tr>
<tr>
<td>3.1.023</td>
<td>AALL222</td>
<td>Position/Job Descriptions-Position classification system</td>
</tr>
<tr>
<td>3.1.035</td>
<td>AALL243</td>
<td>Performance Bond</td>
</tr>
<tr>
<td>3.2.001</td>
<td>AALL249</td>
<td>Income Adjustment Authorizations- Includes Savings Bonds</td>
</tr>
<tr>
<td>3.2.003</td>
<td>AALL251</td>
<td>Federal Tax Records</td>
</tr>
<tr>
<td>3.4.002</td>
<td>AALL309</td>
<td>Leave Status Reports</td>
</tr>
<tr>
<td>3.3.020</td>
<td>AALL310</td>
<td>Flexible Work Arrangement</td>
</tr>
<tr>
<td>3.3</td>
<td>AALL310</td>
<td>Verification of State Service Records</td>
</tr>
<tr>
<td>4.4.002</td>
<td>AALL490</td>
<td>Accounts Receivable Ledgers</td>
</tr>
<tr>
<td>4.7.001</td>
<td>AALL540</td>
<td>Accounting Policies and Procedures Manual - Handbook of Business Procedures</td>
</tr>
<tr>
<td>4.7.008</td>
<td>AALL552</td>
<td>Contracts / Grants Master Files</td>
</tr>
<tr>
<td>4.7.008</td>
<td>AALL556</td>
<td>Federal Grant Information on File</td>
</tr>
<tr>
<td>5.1.001</td>
<td>AALL570</td>
<td>Contracts, Leases, Purchase Orders, Bids, and Other Agreements</td>
</tr>
<tr>
<td>5.1.013</td>
<td>AALL585</td>
<td>Insurance Policies (Equipment &amp; Vehicles)</td>
</tr>
<tr>
<td>5.2.002</td>
<td>AALL595</td>
<td>Building Construction Project Files</td>
</tr>
<tr>
<td>5.2.001</td>
<td>AALL597</td>
<td>Surveys - Building &amp; Property</td>
</tr>
<tr>
<td>5.2.003</td>
<td>AALL598</td>
<td>State Owned Building Plans and Specifications</td>
</tr>
<tr>
<td>5.4.001</td>
<td>AALL667</td>
<td>Accident Reports and Associated Documentation</td>
</tr>
<tr>
<td>5.4.012</td>
<td>AALL700</td>
<td>Security Access Records</td>
</tr>
<tr>
<td>5.4.012</td>
<td>AALL701</td>
<td>Security Access Records-Master Key assignments</td>
</tr>
<tr>
<td>5.4.013</td>
<td>AALL704</td>
<td>Disaster Preparedness and Recovery Plans</td>
</tr>
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<td>5.6.007</td>
<td>AALL724</td>
<td>Vehicle Title and Registration</td>
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<tr>
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<td>ACC380</td>
<td>Automated Financial Data Files</td>
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<td>4.4.001</td>
<td>ACC487</td>
<td>General and Subsidiary Ledgers</td>
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<tr>
<td>4.7.005</td>
<td>ACC548</td>
<td>Miscellaneous Ex-Student Debt Files</td>
</tr>
<tr>
<td>4.7.008</td>
<td>ACC557</td>
<td>Indirect Cost Calculations (Contracts and grants)</td>
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<tr>
<td>4.7.010</td>
<td>ACC563</td>
<td>Long-Term Liability Records</td>
</tr>
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<td>3.2.008</td>
<td>ACC709</td>
<td>Direct Deposit Authorizations</td>
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<td>DSO449</td>
<td>Investment Data Files</td>
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<td>Correspondence on Hazardous Waste</td>
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<td>3.1.018</td>
<td>GFO090</td>
<td>Faculty Grievance Committee Records</td>
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<td>3.1.038</td>
<td>HR221</td>
<td>Public Access to Directory Information</td>
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<td>3.1.031</td>
<td>HR240</td>
<td>Employee Benefits- Other than Insurance</td>
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<td>3.2.009</td>
<td>HR257</td>
<td>Deferred Compensation</td>
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<td>Code</td>
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<td>3.3.011</td>
<td>Former Employees Verification Files</td>
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<td>3.3</td>
<td>HR268 Verification of Employment Requests (VOE)</td>
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</tr>
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<td>5.4.001</td>
<td>HR666 Workers' Comp Reports and Other Records</td>
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</tr>
<tr>
<td>5.4.001</td>
<td>HR667 Workers Comp Reports/Exposure to Airborne or Bloodborne Pathogens</td>
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</tr>
<tr>
<td>1.1.070</td>
<td>ICA021 Athletic Policies and Procedures</td>
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</tr>
<tr>
<td>4.4.002</td>
<td>LIB491 Prompt Payment Service Statements (Circulation)</td>
<td></td>
</tr>
<tr>
<td>4.7.008</td>
<td>OSP552 Contracts/Grants Files</td>
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</tr>
<tr>
<td>3.2.001</td>
<td>PAY249 Retirement Authorization Forms - Deferred compensation authorization</td>
<td></td>
</tr>
<tr>
<td>3.2.002</td>
<td>PAY250 Employee Earning Records</td>
<td></td>
</tr>
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<td>3.2.005</td>
<td>PAY255 W-4 Forms</td>
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<td>3.2.008</td>
<td>PAY257 Direct Deposit Application/Authorization</td>
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<tr>
<td>3.2.010</td>
<td>PAY258 Human Resources Information Systems (HRIS) Reports</td>
<td></td>
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<tr>
<td>4.4.004</td>
<td>PAY494 Employee Savings Bond Ledger</td>
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<td>3.1.035</td>
<td>PPO244 Surety Bonds</td>
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<tr>
<td>5.6.007</td>
<td>PPO724 Vehicle Title and Registration</td>
<td></td>
</tr>
<tr>
<td>4.4.003</td>
<td>UHS492 Patient Billing Records</td>
<td></td>
</tr>
</tbody>
</table>