



THE TEXAS A&M UNIVERSITY SYSTEM
 RECORDS RETENTION SCHEDULE

Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	Remarks
ADMINISTRATION RECORDS					
Section I.1 - General					
I.1.002	01.100.10	Audits – Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency audits	AC+7		AC=Publication or release of final audit findings. The State Auditor’s Office retains any copies of its audits performed on Texas state agencies.
I.1.004	01.101.10	Legislative Appropriations Requests – Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC+6	I	AC = September 1 of odd-numbered calendar years. Records with archival value will be retained in the agency archives.
I.1.006	01.102.10	Complaint File – Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+2		AC=Final disposition of the complaint CAUTION: if a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number I.1.048.

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I.1.007	01.103.10	Correspondence - Administrative – Incoming/outgoing and internal correspondence, in any format, pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administration of policies, procedures and programs that govern them.	3	○	Should be considered for retention in archives. CAUTION: This records series and item number I.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 I.1.004; a letter concerning an audit for that prescribed by item number I.1.002, etc. SEE ALSO item number I.1.010
I.1.008	01.104.10	Correspondence - General – Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency. (includes interoffice correspondence; excludes directories)	1		SEE comments to item number I.1.007. SEE ALSO item number I.1.010
I.1.010	01.105.10	Directives (routine issuances on general office procedures)	US+1		

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1.1.011	01.106.10	Executive Orders – Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.	US+3	I	
1.1.013	01.107.10	Calendars, Appointments and Itinerary Records – Desk calendars, appointment books, and similar records, purchased with state funds that documents appointments, itineraries, and other activities of an agency official or employee.	CE+1	O	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 the retention period.
1.1.014	01.108.10	Legal Opinions and Advice – from agency legal counsel or the Attorney General including request eliciting the opinions	AV	O	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048
1.1.019	01.109.10	Public Relations Records – News or press releases issued by the agency. Includes print, electronic, audio, and audiovisual	2	O	
1.1.020	01.110.10	Public Information Requests, Requested information disclosed – Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code).	AC+2		AC=Date Request Fulfilled NOTE: If a portion of the records are withheld from disclosure, item no. 1.1.021 applies instead of this records series.

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I.1.021	01.111.10	Public Information Requests, Requested information withheld – Includes all correspondence and documentation relating to requests for records that are excepted from disclosure or confidential under Public Information Act (Chapter 552, Government Code).	AC+2		AC = The latest of the following dates, as applicable; the date of the institution or agency’s receipt of the office of the attorney general’s decision that records are excepted from disclosure or confidential, or if an attorney general decision is not required, the date the records are determined to be excepted from disclosure or confidential, or the date the institution or agency provides to the requestor the portion of the records that are not excepted from disclosure of confidential.
I.1.023	01.112.10	Organization Charts	US	I	
I.1.024	01.113.10	Plans and Planning Records – Plans and records relating to the process of planning new or redefined programs, services or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	O	AC=Decision made to implement or not to implement result of planning process
I.1.026	01.114.10	Texas Register Submissions – Copies of all proposed, withdrawn, emergency, and adopted rules; open meeting notices; or any other documents required by law to be submitted to the Texas Register.	AC+1		AC=Date of publication in the Texas Register

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					Remarks
1.1.027	01.115.10	Proposed Legislation – Drafts of proposed legislation and related correspondence.	AV		
1.1.038	01.116.10	Customer Surveys – Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency’s performance.	AC		AC = Final disposition of summary report
1.1.040	01.117.10	Speeches, Papers and Presentations - Notes or text of papers, presentations, or reports delivered in conjunction with agency work.	AC	○	AC = End of term in office or service in a state position.
1.1.041	01.118.10	Suggestion System – Suggestions submitted by agency personnel and responses.	I		
1.1.043	01.119.10	Training Manuals – Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+I		

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I.I.048	01.120.10	Litigation Files – Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC+I	○	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.
	01.120.20	Liability Waivers	AC+I	○	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. AC = Expiration of the applicable statute of limitations.
I.I.053	01.121.10	Registration Logs – Logs or similar records used to register persons appearing before state agencies as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission.	AC		AC = Report filed with the Texas Ethics Commission.

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					Remarks
1.1.055	01.122.10	Strategic Plans - Includes information resources and operational strategic plans prepared in accordance with Tex. Govt. Code, §§ 2054.095 and 2056.002.	AC+6	I	AC = September 1 of odd-numbered calendar years Agency retains the permanent Record Copy and sends required copies to the Publications Depository Program, Texas State Library
1.1.056	01.123.10	ADA (American with Disabilities Act Documentation - Self evaluations and plans documenting compliance with Americans With Disabilities Act.	3		28 Code of Federal Regulations (CFR) § 35.105 (c)
1.1.057	01.124.10	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 on-going records series.) Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters; telephone messages; or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC		AC=Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction sign-offs (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).

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I.1.058	01.125.10	Meeting Agenda and Minutes – Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code Chapter 551.	PM	I	Agency retains permanent copy. CAUTION: This records series and item numbers I.1.059, I.1.060, I.1.061, and I.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.
I.1.059	01.126.10	Meetings, Certified Agendas or Tape Recordings of Closed – Certified agendas or tape recordings of closed meetings of state boards, commissions, committees, and councils	AC+2		AC = The data of the meeting or completion of pending action involving the meeting, whichever is later.
I.1.060	01.127.10	Meetings, Audio and Videotapes of Open Audio or videotapes of open meetings of state boards, commissions, committees, etc.	AC+90 days		AC = Official Approval of written minutes of the meeting by 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 I.1.058.

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1.1.061	01.128.10	Meeting Notes – Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC + 90 days		AC = Approval of the formal minutes by the governing body.
1.1.062	01.129.10	Meetings Supporting Documentation – Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.	2	I	
1.1.063	01.130.10	Staff Meeting Minutes/Notes – Minutes or notes, and supporting documentation taken at internal agency staff meetings	1		
1.1.064	01.131.10	Agency Performance Measure Documentation – Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency’s appropriations request or strategic plan, and for performance measures used to manage the agency.	FE+3		CAUTION: The FE+3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.
1.1.065	01.132.10	Reports and Studies (Non-Fiscal) - Raw Data – Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV		

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1.1.066	01.133.10	Reports, Annual and Biennial Agency (Narrative) – Biennial narrative reports to the governor and legislature as required by an agency’s enabling statutes, including annual narrative reports if they are required by statute.	AC+6	I	AC=September 1 st of odd-numbered calendar years Agency retains the Record Copy and sends required copies to the Publications Depository Program
1.1.067	01.134.10	Reports and Studies (Non-fiscal) – Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency’s programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities	3	O	
1.1.068	01.135.10	Reports on Performance Measures - Quarterly and annual reports on agency performance measures submitted to executive and legislative offices	AC+6		AC=September 1 st of odd-numbered calendar years
1.1.069	01.136.10	Activity Reports - Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.	1		

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1.1.070	01.137.10	Agency Rules, Policies, and Procedures – Final – Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency’s programs, services, or projects.	AC+3	○	AC = Completion or termination of programs, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures – Working Files, item number 1.1.071
1.1.071	01.138.10	Agency Rules, Policies, and Procedures – Working Files – Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency’s programs, services, or projects.	AC+3	○	AC = Completion or termination of programs, rules, policies or procedures. See also item number 1.1.070
1.1.072	01.139.10	Public Information Reports – Reports made to Texas Building and Procurement Commission on an agency’s Public Information Act activities.	2		
1.1.073	01.140.10	Administrative Hearings – Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes.	AC+3	○	AC = Last action.

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1.1.074	01.141.10	Sunset Review Report and Documentation	AC+3	○	AC = After the subsequent Sunset Review
1.1.075	01.142.10	Alternative Dispute Resolutions – Final Agreement – Final agreement described by Government Code §2009.054(c), associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state agency participated as a party on the agency’s behalf.	AC+4		AC = Date of final agreement. Tex. Civ. Prac. and Rem. Code, § 154.071
	01.143.10	Patents and Related Documents	AC+20		AC = Date patent is issued.
	01.144.10	Organizational Memberships	AV		
	01.145.10	Gift and Donor Records	PM		

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Section 1.2 – Records Management					
1.2.001	01.200.10	Destruction Authorizations – Agency level documents authorizing final disposition of records under a certified records retention schedule	FE+3		
1.2.003	01.201.10	Forms History File – Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	AC+1		AC=Discontinue use of forms
1.2.004	01.202.10	Forms Inventory – Any periodic listing of all forms used internally or externally by an agency	US		
1.2.005	01.203.10	Records Retention Schedule (Agency copy) – Includes documentation of certification and approval – forms SLR 105C and/or other forms designated by the State Records Administrator.	US		Original is retained permanently by SLRMD of Texas State Library. Record copy retained by Records Management Officer
1.2.006	01.204.10	Records Transmittal Forms (Agency Copy) – Forms indicate records transferred to storage or a transfer of legal custody.	AC+2		AC=Date of authorization for destruction, permanent transfer from storage, or transfer to the Archives and Information Services Division, Texas State Library and Archives Commission, by the agency records administrator.
1.2.008	01.205.10	Request for Authority to Dispose of State Records.	FE+3		Original is retained by the Records Retention Officer
1.2.010	01.206.10	Records Disposition Logs	10		

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1.2.012	01.207.10	Records Inventory Worksheets	US		
1.2.013	01.208.10	Records Control Locator Aids – Includes indexes, card files, shelf lists, registers, guides, etc.	AC		AC = When control aid is updated, revised, or no longer needed.
1.2.014	01.209.10	Records Management Plan	US+I		
1.2.015	01.210.10	Disaster Recovery Service Transmittals (RMD 109) – Also includes documentation for disaster recovery services provided by other entities	FE+I		See Also 5.4.013
1.2.016	01.211.10	Disaster Recovery Service Approval Form (RMD 113) – Agency Copy of Form	AC		AC=Until superseded or termination of service.

Section 1.3 – Publications

1.3.001	01.300.10	State Publications - One copy of each state publication except a publication that is subject to a different retention period in this schedule.	AC+2		<p>AC=Until Superseded or obsolete.</p> <p>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.</p> <p>For those publications meant to be distributed in a</p>
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					<p>first published version without subsequent revision, the date decision is made within an agency to no longer make the publication available for distribution.</p> <p>For serial publications issued in successive parts bearing numerical or chronological designations (e.g., newsletters, annual statistical reports of regulated activities), from the date of release of the next part in the series.</p>
1.3.002	01.301.10	Publication Files – Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	○	
Section 1.4 – Academic Administration Records					
	01.400.10	Accreditation Files	PM		
	01.401.10	Completed Class Tests and Examinations, Students’ Course Papers	AC+I		AC=Academic term
	01.402.10	Course Syllabus/Outlines Files	AV		CAUTION: If record copy of syllabus is posted electronically on institution website in accordance with Texas Education Code § 51.974, retain at least 2 years.
	01.403.10	Curriculum Files, Including Revisions, Central Administrative	US+5		Review before disposal as some may merit permanent retention for historical reasons.
	01.404.10	Curriculum Files, including Revisions, Departmental	US+5		

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	01.405.10	Instructor/Faculty Evaluations	AC+I		AC=Academic term
	01.406.10	Instructor Grade Books	AC+I		AC=Academic term
	01.407.10	Instructor Grade Sheets	AC+I		AC=Academic term
	01.409.10	New Course Proposals File, Central Administrative	AV		
	01.410.10	New Course Proposals File, Departmental	AV		
		For Class Lists, see Section 6.2 For Grade Books, see Section 6.2 For Class Schedule (institutional), see Section 6.4			

**ELECTRONIC DATA
 PROCESSING RECORDS**

Section 2.1 – Automated Applications

2.1.001	02.100.10	Processing Files - Machine-readable files used in the creation, utilization, and updating of master files,	AC		<p>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.</p> <p>Caution: Be certain before assigning the retention period of AC to automated processing files that the files do not fall under records series listed elsewhere.</p>
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2.1.002	02.101.10	Master Files – Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC		<p>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.</p> <p>Caution: Be certain before assigning the retention period of AC to automated processing files that the files do not fall under records series listed elsewhere.</p>
2.1.007	02.102.10	Software Programs – Automated software applications and operating system files including job control language, program listing/source code, etc.	AC		<p>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.</p> <p>CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.</p>

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2.1.008	02.103.10	Hardware Documentation – Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC		AC = Until electronic records are transferred to and made usable in a new 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.
2.1.009	02.104.10	Technical Documentation – Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	AC		AC = Until electronic records are transferred to and made usable in a new 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.

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2.1.010	02.105.10	Audit Trail Records - Files needed for electronic data audits such as those showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC		AC=All audit requirements have been met.
2.1.011	02.106.10	Finding Aids, Indexes and Tracking Systems- Automated indexes, lists, registers and other finding aids used to provide access to records.	AC		AC=The related records have been destroyed. CAUTION: These records must carry the same retention period and archival code of the records they support.
Section 2.2 – Computing Operations and Technical Support					
2.2.001	02.200.10	System Monitoring Records – Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.	AV		
2.2.002	02.201.10	Chargeback Records to Data Processing Services Users – Records used to document, calculate costs, and bill program unites for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.	FE+3		
2.2.004	02.202.10	Computer Job Schedules and Reports – Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.	3 MO		

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2.2.010	02.203.10	Data Processing Policies and Procedures – Manuals, guidelines or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.	US+3		CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. See item number 2.1.009.
2.2.011	02.204.10	Batch Data Entry Control Records – Forms and logs used to reconcile batches submitted for procession against batches received and processed.	AC		AC = When reconciliation confirmed.
2.2.012	02.205.10	Output Records for Computer Production (Mini and Mainframe) – Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV		
2.2.013	02.206.10	Quality Assurance Records – Information verifying the quality of system, hardware or software operations including records of errors or failures and the loss of data resulting from such failures, documentation of abnormal termination and of error free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy.	AC		AC=No longer needed as an audit trail for any records modified

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2.2.014	02.207.10	Internet Cookies – Data resident on hard drives that make use of user-specific information transmitted by the Web server onto the user’s computer so that the information might be available for later access by itself or other servers	AV		The disposal of Internet cookies need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).
2.2.015	02.208.10	History Files – Web Sites – A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generated a record of a usage of a state-owned computer.	AV		The disposal of history files need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).
2.2.016	02.209.10	Software Registrations, Warranties and Licensee Agreements	LA+3		

PERSONNEL RECORDS

Section 3.1 – Employee Records

3.1.001	03.100.10	Applications for Permanent Employment - Not Hired – Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment ad.	2		Includes Temporary Employment 29 CFR) § 1602.31 (State Agencies); 29 CFR § 1602.49(a) (State Universities)
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Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	Remarks
3.1.002	03.101.10	Applications for Permanent Employment – Hired – Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment ad.	AC+5		Includes Temporary Employment and Certificate of Age (minor workers) AC=Termination of Employment
3.1.006	03.102.10	Employee Counseling Records – Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems.	AC+3		AC = Termination of Counseling Period is AC+10 if counseling provided by, and records kept by a licensed psychologist as required by Tex. Admin. Code § 465.22 (d)(2).
3.1.011	03.103.10	Employee’s Insurance File – Copies of information relating to the selection by employees of life, disability, health, and other types of insurance.	AC		AC = Until superseded or termination of employment. CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001
3.1.012	03.104.10	Employment Opportunity Announcements – Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.	2		29 CFR § 1602.31 (State Agencies) 29 CFR § 1602.49(a) (State Universities)
3.1.013	03.105.10	Employment Contracts	AC+4		AC=Expiration or termination of the contract according to its terms.

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Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	Remarks
3.1.014	03.106.10	Employment Selection Records - Hired Includes notes of interviews with candidates; audio and videotapes of job interviews; background check consent forms and previous injury checks; pre-employment physical examinations; polygraph examination results; and all other records that document the selection process. See 3.1.026 for security clearances on hired applicants.	AC+5		AC=Termination of Employment CAUTION: Does not include criminal history checks. See item number 3.1.026
	03.106.20	Employment Selection Records – Not Hired Includes notes of interviews with candidates; audio and videotapes of job interviews; background check consent forms and previous injury checks; pre-employment physical examinations; polygraph examination results; and all other records that document the selection process.	5		
3.1.018	03.107.10	Grievance Records – Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC+5		AC=Termination of Employment CAUTION: Does not include formal complaints filed by an employee with the Equal Employment Opportunity Commission. See Item Number 1.1.048
3.1.019	03.108.10	Performance Appraisals	AC+5		AC=Termination of Employment. See Agency item number 03.108.20 for Faculty performance evaluations.

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Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	Remarks
	03.108.20	Faculty Performance Records (Promotion, tenure, post-tenure review)	AC + 5		AC=Termination of Employment
3.1.020	03.109.10	Personnel Corrective Action Documentation (does not affect pay, status or tenure)	AC+5		AC=Termination of Employment
3.1.021	03.110.10	Personnel Disciplinary Action Documentation (affects pay, status or tenure)	AC+5		AC=Termination of Employment
3.1.022	03.111.10	Personnel Information or Action Form – Forms or similar records used to create or change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment.	AC+5		Form 500 AC=Termination of Employment
3.1.023	03.112.10	Position/Job Descriptions – Job descriptions, including all associated task or skill statements, for positions in agency.	AC+5		AC = Termination of Employment
3.1.024	03.114.10	Physical Examinations/Medical Reports - medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.	AC+2		AC = Until superseded or termination of employment. CAUTION: Does not include pre-employment physical examinations. See item number 3.1.014

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Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	
					Remarks
	03.114.20	Alcohol and Controlled Substance Testing and Prevention programs	AV		AV = In accordance with applicable federal requirements.
3.1.026	03.115.10	Criminal History Checks – Criminal history record information on job applicants or agency employees.	AC		AC = The criminal history record has served the immediate purpose for which is obtained. NOTE: See agency item numbers 03.106.10 and 03.106.20 for criminal history background check consent forms.
3.1.027	03.116.10	Training and Educational Achievement Records (Individual) – Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC+5		AC=Termination of Employment
3.1.029	03.117.10	Documentation or Verification of Employment Eligibility Federal reporting form (INS I-9)	AC+1		8 CFR § 274a.2 (b)(2)(i)(A), (c)(2) 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 is 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.

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Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	Remarks
3.1.031	03.118.10	Employee Benefits - Other than Insurance – Agency copies of information relating to the selection of available benefit options other than insurance	AC+2		AC = Until superseded or termination of employment. Caution: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.
3.1.034	03.119.10	Resumes – Unsolicited – Retention period applies if replies are made to the sender of resume stating that it will be kept on file for future job openings.	AV		See item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.
3.1.035	03.120.10	Performance Bonds – Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency. (Does not include construction and architectural surety bonds - See 5.2.028)	AC+4		AC=Expiration or termination of the bond according to its terms Caution: Does not include construction or architectural surety bonds. See item number 5.2.028.
3.1.036	03.121.10	Apprenticeship Records (Summary of applicant qualifications, evaluation basis for selection or rejection, original applications, job assignments, promotions, separations, layoffs, terminations, compensation records, conditions of work, time records, hours of training provided (separate from labor), minority status, and gender of all selected and rejected applicants.	5		29 CFR § 30.8(e)
3.1.037	03.122.10	Employee Recognition (awards, incentives, tenure, etc.)	AC+ 5		AC=Termination of Employment

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				Remarks
3.1.038	03.123.10	Public Access Option Form – form completed and signed by employee or official or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government code 552.024.	US	See item number 3.3.001
3.1.039	03.124.10	Ombudsman Records – Consultation records, notes, letters, memos, emails, reports and other documentation	AC	AC = Final decision or matter closed. Caution: Does not include formal complaint filed with EEO. If matter becomes a grievance or the subject of counseling or litigation, or employee in subject to disciplinary action, the records that are subject to retention are the appropriate records series. SEE 1.1.048, 3.1.018, 3.1.020, and 3.1.021.
Section 3.2 - Payroll				
3.2.001	03.200.10	Employee Deduction Authorization – Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC+4	AC=After termination of employee or after amendment, expiration, or termination of authorization, whichever is sooner
3.2.002	03.201.10	Employee Earning Records	AC+5	AC= End of calendar year of termination of employment.

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				Remarks
3.2.003	03.202.10	Federal Tax Records (1099, W-2, and other tax records)	AC+4	AC = Tax due date, date claim is filed, or date tax is paid whichever is later. 26 CFR § 31.6001-1(e)(2)
3.2.004	03.203.10	Income Adjustment Authorization – Used to make increases or decreases to employees’ gross pay, FICA, retirement, or in the computation of taxes.	2	29 CFR § 516.6(c)
3.2.005	03.204.10	W-4 Forms – Employer’s copy of “Employees’ Withholding Exemption Certificate.”	AC+4	AC = Until superseded, obsolete, or upon separation of employee. 26 CFR § 31.6001-1 (e) (2)
3.2.006	03.205.10	Wage Rate Tables	2	29 CFR § 516.6(a)(2)
3.2.007	03.206.10	Unemployment Compensation	AC+5	AC = Settled
3.2.008	03.207.10	Direct Deposit Applications/Authorization	US	
3.2.009	03.208.10	State Deferred Compensation Records	AC+5	AC=All accounts with a vendor or vendors for the individual participant have been closed For instruction regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the <i>Benefits Coordinator Reference Manual</i> issued by the Employees Retirement System of TX.

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Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	Remarks
3.2.010	03.209.10	Human Resource Information System (HRIS) Reports and supporting documentation.	AC+4		
Section 3.3. – Personnel Administration					
3.3.001	03.300.10	Affirmative Action Plans – for both regular employees and apprenticeship programs	5		29 CFR § 30.8(e) For apprenticeship plans
3.3.004	03.301.10	Benefit Plans – Employee benefit plans such as pension, live, health, and disability insurance; deferred compensation; etc., including amendments.	US+1		29 CFR § 1627.3(b)(2) Includes Group Insurance Records.
3.3.010	03.302.10	Labor Statistics Report – Reports providing statistical information on labor force.	3		
3.3.011	03.303.10	Former Employee Verification Records - Minimum information needed to verify employment includes name, SSN, exact dates of employment, last known address and most recent public access option form.	AC+75		AC=Termination of Employment. See item number 3.1.038
3.3.015	03.304.10	Positions/Job Classification Review File – Records relating to review and monitoring of job classifications within an agency.	US+3		
3.3.020	03.305.10	Work Schedules/Assignments – Work, duty, shift, crew, or case schedules, rosters, or assignments.	2		

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					Remarks
3.3.022	03.306.10	Texas Workforce Commission (TWC) - Reports from TWC to the agency or its predecessor pertaining to employees.	3		
3.3.023	03.307.10	Reimbursable Activities, Requests and Authorizations in which to Engage – Request and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE+3		Includes request for tuition assistance.
	03.307.20	External employment/Consulting – Includes requests for approval, authorizations, internal disclosures related to such activities.	FE+3		
3.3.024	03.308.10	Personnel Policies and Procedures – Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency	US+3		
3.3.025	03.309.20	Job Procedure Records – Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US+3		
3.3.026	03.310.10	Agency Staffing Reports – Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name, staff hired during a month, detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US+3		

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Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	Remarks
3.3.027	03.311.10	Aptitudes & Skills Tests and Test Papers – Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US+2		29 CFR 1602.31(a) (State Agencies) 29 CFR 1602.49(a) (State Universities) Caution: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.
3.3.029	03.312.10	Aptitude and Skills Test (Validation Records)	AC+2		AC = As long as the test is used by an agency 29 CFR § 1602.31 (State Agencies) 29 CFR § 1602.49(a) (State Universities)
3.3.030	03.313.10	Training Administration Records	US+2		Caution: Does not include hazardous material training records. See item number 5.4.007.
3.3.031	03.314.10	EEO Reports and Supporting Documentation – Includes documentation used to complete EEO reports	3		29 CFR § 1602.32, 48 and 50
3.3.032	03.315.10	Equal Pay Records – Reports, studies, aggregated or summary data and similar documentation compiled to monitor and demonstrate compliance with the federal Equal Pay Act.	3		29 CFR § 1620.32

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Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	Remarks
Section 3.4 – Time and Leave Records					
3.4.001	03.400.10	Accumulated Leave Adjustment Request – 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.	4		
3.4.002	03.401.10	Leave Status Report (each pay cycle) – Cumulative report is issued pay cycle and provides employee leave status information for each position.	4		
3.4.003	03.402.10	Less Than Full-Time Worked (dates and hours)	4		40 Tex. Admin. Code § AC 815.106(i)
3.4.004	03.403.10	Overtime Authorizations	2		
3.4.005	03.404.10	Overtime Schedules	2		
3.4.006	03.405.10	Time Cards and Time Sheets	4		40 Tex. Admin. Code § 815.106(i)
3.4.007	03.406.10	Time Off and/or Sick Leave Requests	4		Includes supporting documentation for leave requests, such as physician statements.
3.4.008	03.407.10	Sick Leave Pool Records - Donations and Withdrawals	4		

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Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	Remarks
Section 3.5 – Immigration Records					
03.500.10		J-I Student Intern Evaluations (Applicable to J-I student interns)	AC + 3		AC= completion of student intern program. 22 C.F.R. § 62.23(i)(5)
03.501.10		Labor Condition Certifications (H-1Bs and E-3s)	AC + 1		AC= earliest of the following termination of employment under labor condition application, date employee has obtained permanent residence, or date labor condition application expired or withdrawn. 20 C.F.R. § 655.760(c)
03.502.10		Payroll Records–Public Examination Files (H-1Bs and E-3s)	3		Retention period begins on date of record’s creation unless an enforcement action is commenced, then records must be kept in accordance with federal regulations. 20 C.F.R. § 655.760(c)
03.503.10		Application for Permanent Employment Certification (including all supporting documentation)	AC + 5		AC= date of filing. 20 C.F.R. § 656.10(f)
03.504.10		F-1 Optional Practical Training Records	AC + 1		AC= termination of employment.
03.505.10		O-1s, TNs, J-1s	3		Not including J-I Student Intern Evaluations, see agency number 03.500.10.
03.506.10		I-140 Immigration Petitions	3		
03.507.10		Application for Appointment as a Visiting Scholar	AC + 5		AC= date application rejected or termination of appointment.

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FISCAL RECORDS					
Section 4.1 – Worksheets, Detail Information on Financial Event or Transaction					
4.1.001	04.100.10	Accounts Payable Information	FE+3		
4.1.002	04.101.10	Billing Detail	FE+3		CAUTION: Does not include long distance telephone billing detail. See item numbers 5.5.001, 5.5.006, and 5.5.007.
4.1.003	04.102.10	Cancelled Checks/Stubs/Warrants/Drafts	FE+3		
4.1.004	04.103.10	Encumbrance Detail	FE+3		
4.1.005	04.104.10	Inventory and Other Cost Files - Production, job labor quotes, pricing, specifications, etc.	FE+3		
4.1.006	04.105.10	Investment Transaction Files	FE+3		
4.1.007	04.106.10	Transfers or Budget Revisions - Transfers or adjustment to budgets	FE+3		
4.1.008	04.107.10	Electronic Fund Transfers - Direct Deposit Registers	FE+3		
	04.108.10	Credit/Debit Card Merchant Receipt	AC		AC = expiration of dispute resolution period.
Section 4.2 – Documents of Original Entry					
4.2.001	04.200.10	Cash Deposit Vouchers (including deposit slips)	FE+3		
4.2.002	04.201.10	Cash Receipts – Includes receipts for fees (permits, licenses, renewals, etc.).	FE+3		
4.2.003	04.202.10	Daily Cash Receipts Log	FE+3		

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Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	Remarks
4.2.004	04.203.10	Encumbrance Vouchers – Orders, statements, change orders, etc.	FE+3		
4.2.005	04.204.10	Purchase Vouchers – Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determination etc.	FE+3		
4.2.006	04.205.10	General Journal Vouchers	FE+3		
4.2.007	04.206.10	Expenditure Vouchers (includes travel expense reports, payroll, etc.)	FE+3		Includes Credits
Section 4.3 – Journals or Registers					
4.3.001	04.300.10	Sales Journals or Registers	FE+3		
4.3.002	04.301.10	Receipts Journals or Registers	FE+3		
4.3.003	04.302.10	Expenditures Journals or Registers	FE+3		
Section 4.4 - Ledgers					
4.4.001	04.400.10	General and Subsidiary Ledgers	FE+3		
4.4.002	04.401.10	Accounts Receivable Ledgers	FE+3		
4.4.003	04.402.10	Accounts Payable Ledgers	FE+3		
4.4.004	04.403.10	Employee Savings Bond Ledgers	FE+3		
Section 4.5 - Reports					
4.5.001	04.500.10	Worksheets for Preparing Fiscal Reports	FE+3		
4.5.002	04.501.10	Internal Fiscal Management Reports – Includes monthly budget reports.	FE+3		

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4.5.003	04.502.10	Annual Financial Report (required by General Appropriations Act)	AC+6		AC=September 1 ST of odd-numbered calendar years Agency retains Record Copy and sends required number of copies to Publications Depository Program-TSL
4.5.005	04.503.10	External Fiscal Reports - Special purpose – Federal financial reports, salary reports, etc. Includes HUB Reports.	FE+3		
4.5.006	04.504.10	Annual Operating budget – Required by the General Appropriations Act	FE+3		
4.5.007	04.505.10	USAS Reports – Daily	AC		AC = Receipt and reconciliation of monthly report.
4.5.008	04.506.10	USAS Reports – Monthly	AC		AC = Receipt and reconciliation of annual report.
4.5.009	04.507.10	USAS Reports – Annual	FE+3		
Section 4.6 – Documents Showing Compliance with System of Internal Control					
4.6.001	04.600.10	Balancing Records	FE+3		
4.6.002	04.601.10	Reconciliations	FE+3		
4.6.003	04.602.10	Cash Counts	FE+3		
Section 4.7 – Other Fiscal Records					
4.7.001	04.700.10	Accounting Policies and Procedures Manual	US+3		
4.7.002	04.701.10	Bank Statements	FE+3		
4.7.003	04.702.10	Returned Checks/Warrants/Drafts (Uncollectible)	AC+3		AC=After deemed uncollectible

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Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival
				Remarks
4.7.004	04.703.10	Capital Asset Records	LA+3	
4.7.005	04.704.10	Claim Files	AC+3	AC = Resolution of Claim
4.7.006	04.705.10	Comptroller Statements	FE+3	
4.7.007	04.706.10	Detail Chart of Accounts - One for all accounts in use for a year.	FE+3	
4.7.008	04.707.10	Federal Grant Information on File	AC+3	AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (Common Rule) CAUTION: Retention may vary depending on the specific federal funding agency. Agency must ensure that records are retained for the appropriate retention period.
4.7.009	04.708.10	Fixed Asset Sequential Number Log	US+3	
4.7.010	04.709.10	Long-Term Liability (bonds, etc.)	AC+3	AC=Retirement of debt
4.7.012	04.711.10	Signature Authorizations – Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	US + FE+3	Includes employee application for procurement/payment card, travel card or other similar methods of payment for goods and/or services.

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Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	Remarks
SUPPORT SERVICES RECORDS					
Section 5.1 - General					
5.1.001	05.100.10	Contracts and Leases – Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted and rejected bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+4		AC=Expiration or termination of the instrument according to its terms. See item number 5.2.028 for building construction contracts and item number 5.1.017 Does not include research contracts and documents of original entry - federal contracts. See agency item no. 07.101.20.
5.1.003	05.101.10	Delivery Reports	2		
5.1.004	05.102.10	Mailing and Telecommunications Listings – Any mailing address, telephone or fax number, or e-mail address records maintained by an agency on its employees or on entities or persons it serves.	US		
5.1.005	05.103.10	Postage Records – Records and reports of postage expenses, including postage meter use	FE+3		Includes express delivery and campus post offices.
5.1.007	05.104.10	Requisitions for In-House Copy/Inter-Agency/Printing Service – includes word processing and data processing	AV		

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					Remarks
5.1.010	05.105.10	Licenses & Permits for Non-vehicles – Does not include licenses and permits issued by an agency as part of its statutory responsibilities.	AC+2		AC = Expiration date of license or permit.
5.1.011	05.106.10	Photocopier and Telefax Use Logs & Reports	AV		
5.1.012	05.107.10	Charge Schedules/Price Lists Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges.	US+3		
5.1.013	05.108.10	Insurance Policies – For vehicles, equipment, etc.	AC+4		AC=Expiration or termination of the policy according to its terms
5.1.014	05.109.10	Office Procedures – Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency; for example, agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US+1		
5.1.015	05.110.10	Correspondence Tracking Records - Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers.	I		
5.1.017	05.111.10	Contract Log – List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE+3		

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Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	Remarks
Section 5.2 – Facility Management Records					
5.2.001	05.200.10	Appraisals - Building or Property	AV	○	Disclosure of Information would be “closed” until a contract is awarded and “open” after awarding of a contract
5.2.003	05.202.10	Building Plans & Specifications – Leased Includes architectural and engineering drawings, profiles and blueprints.	AC+2	○	AC=Termination or cancellation of lease See also item numbers 5.2.002 and 5.2.028.
5.2.003	05.203.10	Building Plans & Specifications - State-Owned Includes architectural and engineering drawings, profiles and blueprints.	LA	○	See also item numbers 5.2.002 and 5.2.028
5.2.004	05.204.10	Building Space Requests	I		
5.2.005	05.205.10	Calibration Records (Equipment or Instrument)	I0		
5.2.006	05.206.10	Certificate of Destruction of Property	FE+3		
5.2.007	05.207.10	Damage Reports	FE+3		
5.2.008	05.208.10	Equipment History File; Equipment Service Agreements – Agreements or contracts with an equipment vendor to provide maintenance service for equipment. Includes requests for installation, moves, service, etc.; and service/repairs logbooks, etc.	LA+3		Includes IT hardware/software maintenance records
5.2.009	05.209.10	Equipment Inventory Detail Report Form – Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE+3		
5.2.010	05.210.10	Equipment Manuals	LA		

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Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	
					Remarks
5.2.011	05.211.10	Equipment Warranties	AC+1		AC = Expiration of Warranty.
5.2.012	05.212.10	Estimate Files (Supply & Repair Cost Estimates)	1		
5.2.014	05.213.10	Inventory – Annual Physical	FE+3		
5.2.015	05.214.10	Notice of Equipment Removed From Inventory	FE+3		
5.2.016	05.215.10	Inventory System Update Listing – Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.	AC		AC=until transfer of information onto annual listing
5.2.017	05.216.10	Lost and Stolen Property Report	FE+3		
5.2.018	05.217.10	Quality Control Reports	2		
5.2.019	05.218.10	Service Orders – agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks.	1		
5.2.020	05.219.10	Supply Usage Records	FE+1		
5.2.021	05.220.10	Surplus Property Sale	FE+3		
5.2.022	05.221.10	Utility Reports	AV		Includes Energy Management Reports
5.2.023	05.222.10	Year-to-Date Activity (Inventory Listing) – Shows additions, changes, transfers, and deletions of information within the inventory system. Data include agency, division, tag number, batch, document, transaction date, location, item code, description, date, and cost.	FE+3		
5.2.024	05.223.10	Material Specifications	AC+2		AC = Material is no longer in the agency.
5.2.025	05.224.10	Equipment Descriptions and Specifications	AC+2		AC = Equipment is no longer in the agency.

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Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	Remarks
5.2.026	05.225.10	Facilities Reservation Logs	2		From date of event.
5.2.027	05.226.10	Space Utilization Reports	AV		
5.2.028	05.227.10	Building Construction Contract & Inspection Records – Building construction contracts, surety bonds, and inspection records	LA+10	○	See also item numbers 5.2.002 and 5.2.003
	05.229.10	Facilities Inventory	LA+2		
Section 5.3 - Purchasing					
5.3.002	05.300.10	Freight Bills Paid	FE+3		
5.3.003	05.301.10	Freight Claims	AC+2		AC=Resolution of claim
5.3.004	05.302.10	Orders – Acknowledgments	AV		
5.3.005	05.303.10	Packing Slips	AV		
5.3.007	05.304.10	Purchase Orders – Includes bid requisitions/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulations/evaluations.	FE+3		CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. See item number 5.1.001 and 5.2.028. Only rejected bids maintained by agency.
5.3.008	05.305.10	Purchasing Logs – log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE+3		

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					Remarks
5.3.009	05.306.10	Requests for Information – Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC		AC=Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable
Section 5.4 – Risk Management					
5.4.001	05.400.10	Accident Reports and Associated Documentation	CE+5		
	05.401.10	Workers' Compensation Claim Files	AC		AC=Death of Claimant. Files maintained by System Workers' Compensation Office. 29 CFR § 1904.6 - The Texas Department of Insurance's copy is retained an additional 50 years
5.4.002	05.402.10	Evacuation Plans	US		
5.4.003	05.403.10	Inspection Records – Fire, safety, and other inspection records of facilities and equipment.	AC+3		AC=Inspection or date of the Correction of the Deficiency, if the Inspection Report Reveals a Deficiency. CAUTION: Does not include inspection reports of building construction. See item number 5.2.028.
5.4.004	05.404.10	Fire Orders (issued by Fire Marshal to correct fire code deficiencies)	AC+3		AC=Deficiency corrected
5.4.007	05.405.10	Hazardous Materials Training Records	5		Texas Health and Safety Code §502.009(g)
5.4.008	05.406.10	Hazard Communication Plans	US+5		Texas Health and Safety Code §502.009(g)

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Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	Remarks
5.4.009	05.407.10	Workplace Chemical Lists	30		Texas Health and Safety Code §502.005 (d)
5.4.010	05.408.10	Material Safety Data Sheets	AC		AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable
5.4.011	05.409.10	Visitor Control Registers Logs, registers, or similar records documenting visitors to limited access or restricted areas of facilities.	3		
5.4.012	05.410.10	Security Access Records – Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instructions of access to agency facilities, equipment or automated systems.	AC+2		AC=Until superseded, date of expiration, or date of termination, whichever sooner
5.4.013	05.411.10	Disaster Preparedness and Recovery Plan	US		
Section 5.5 - Telecommunications					
5.5.001	05.500.10	Billing Detail - Telecommunication (Other Than TEX-AN) – In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE+3		See item number 5.5.006 for TEX-AN billing detail.
5.5.002	05.501.10	Long Distance Telephone Log (includes Wire Transfers) – Long distance logs created by departments for internal documentation purposes. Includes any similar logs created for long distance facsimile or electronic transmissions.	AV		
5.5.003	05.502.10	Station Activity Reports – Internal listing of incoming/ outgoing telephone activity to individual telephone stations.	AV		

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Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	
					Remarks
5.5.004	05.503.10	System Activity Reports – Internal listing of all incoming/outgoing agency telephone activity.	AV		
5.5.006	05.504.10	Billing Detail - Telecommunications (TEX-AN) Applies only to TEX-AN billing detail received by an agency from the GSC BEFORE June 1, 1994. Includes any accompanying detailed listing of long distance calls. See 5.5.001 for billing detail from carriers other than TEX-AN.	FE+3		The billing agency will maintain all long distance TEX-AN records and will provide each using agency its bill summary of centralized capitol complex telephone service without call detail records. For these bill summaries, SEE item number 4.7.011. See item number 5.5.001 for billing detail from carriers other than TEX-AN
5.5.007	05.505.10	Disputed Call Documentation – Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use.	FE+3		
Section 5.6 - Vehicles					
5.6.001	05.600.10	Airplane Flight Logs (State-owned)	LA+3		Includes similar records for vessels, if applicable.
5.6.001	05.600.20	Airplane Flight Logs (Leased)	FE+3		Includes similar records for vessels, if applicable.
5.6.002	05.601.10	Airplane Passenger Lists	FE+3		Includes similar records for vessels, if applicable.
5.6.003	05.602.10	Inspection Repair & Maintenance Records - Vehicles	LA+1		For TAMUS aircraft, maintained in Aircraft Log Books which remain in aircraft. Copies are maintained with vouchers.
5.6.004	05.603.10	License and Driving Record Check	AC		Includes similar records for vessels, if applicable. AC = Until superseded or until termination of

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					employment
5.6.005	05.604.10	Vehicle Use Reports – Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	FE+3		For TAMUS aircraft, maintained in combined form with the Airplane Passenger Lists and Mileage Report Includes similar records for vessels, if applicable.
5.6.007	05.605.10	Vehicle Titles and Registrations	LA		Includes similar records for vessels, if applicable.
5.6.008	05.606.10	Pilot License Verification	AC+5		AC=Termination of Employment
5.6.009	05.607.10	Parking Permits or Assignments	US		
Section 5.7 – Campus Security, Traffic & Parking					
	05.700.10	Accident Reports File records relating to traffic accidents, including accident reports, supplemental accident reports, photographs, correspondence and related documentation.	AC+2		AC=Settled If as a result of an accident, a person is arrested and charged with driving while intoxicated or with at least a second degree felony, the accident report shall be considered an offense investigation record and must be retained for the appropriate period see Agency Item # 05.711.10.
	05.701.10	Arrest File	10		
	05.702.10	Building Security Reports/File	2		

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	05.703.10	Campus Security Reports	2		Not including Clery reports. See Agency Item # 05.706.10.
	05.704.10	Citations (Unpaid)	CE+6		Transfer to Paid File upon payment
	05.705.20	Citations (Paid)	CE+6		
	05.706.10	Clery Annual Security Reports	CE+3		20 U.S.C. § 1092(f); 34 C.F.R. § 668.24.
	05.706.20	Clery Crime Statistics Data	CE+7		All supporting records used in compiling each Clery annual security report, including but not limited to, copies of crime reports; the daily crime logs; records for arrests and referrals for disciplinary action; timely warning reports; related correspondence and notices. See also Agency Item # 05.706.10.
	05.707.10	Parking Violation Reports	5		
	05.708.10	Police Call Sheets	2		
	05.709.10	Police Dispatcher Logs	2		
	05.710.10	Police Incident Reports	CE+6		
	05.711.10	Police Offense Reports	AC		AC=Closed
	05.712.10	Student Safety Records (traffic appeals, etc.)	AC		AC=Settled
	05.713.10	Temporary Vehicle Registration	1		
	05.714.10	Tow Records	3		
	05.715.10	Vehicle Registration Files	2		

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No.**

**Agency
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		For Lost and Stolen Property Report, see 5.2.017 For Parking Permits or Assignments, see 5.6.009 For Schedules (Duty Rosters), see 3.3.020 For Security Access Records, see 5.4.012		
Section 5.8 – Real Estate				
05.800.10		Real Estate, Owned - purchase contracts, gift agreements, deeds, wills, codicils, estate inventories, probate records, minute orders (authorizing purchase, gift or sale of a portion of the asset), restrictions, judgments, title policy or opinions of title, closing documents, surveys, maps, plats, property descriptions and related correspondence.	AC+4	○ AC=For so long as the real estate asset is owned.
05.802.10		Valuation and Condition Reports - appraisals, broker's opinions of value, tax assessments, property condition reports, inspection reports, geotechnical studies, archeological studies, environmental assessments, hydrology studies, ADA compliance reports, habitat and endangered species studies, and related correspondence.	AV	No longer than 4 years from the date of acquisition and/or completion of construction.
05.803.10		Land Management - commercial and agricultural leases, easements, permits, licenses, minute orders for leases and easements, lease assignments, accounting records, tax statement/payment/exemption records, and related correspondence.	AC+4	AC=Expiration or Termination of the Instrument according to its terms.

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Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	Remarks
	05.804.10	Mineral Management Records - oil and gas leases, proposed drilling program, general land office statements, production statements, royalty payment records, pooling agreements, mineral lease assignments, division orders, minute orders, seismic permit records, well logs, related correspondence, notice of auction, bid forms.	AC+5		AC=Expiration or termination of the instrument according to its terms.

STUDENT RECORDS

Section 6.1 –Admissions Data/Documents

	06.100.10	Applicants Who Do Not Enter	AC+1		AC=Application term Includes transcripts, acceptance letters, advanced placement records, applications for admission, correspondence, entrance examination reports, letters of recommendation, medical records, placement scores, readmission forms, test scores.
	06.100.20	Documents for Applicants Who Enter	AC+5		AC=Graduation or date of last attendance Includes transcripts, acceptance letters, advanced placement records, applications for admission & readmission, correspondence, entrance examination reports, medical records, placement scores, residency classification forms, test scores.

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	06.101.10	Letters of Recommendation	AC		AC=After student (applicants who enter) is admitted Waivers of rights of access filed with letters of recommendation should be retained as long as the file is retained.
	06.102.10	Recruitment Materials (applicants who enter)	AC		AC=After enrollment of student
	06.102.20	Recruitment Materials for Veterans	3		VA Regulations
	06.103.10	Scholarship Applications	AC+1		AC=Closed
Section 6.2 – Registration and Records Data/Documents					
	06.200.10	Miscellaneous Academic Records-	PM		
	06.201.10	Academic Action Authorizations (dismissal, etc.)	AC+5		AC=Graduation or date of last attendance
	06.202.10	Advanced Placement Records	AC+5		AC=Graduation or date of last attendance.
	06.203.10	Applications for Graduation	AC+1		AC=Graduation or date of last attendance
	06.204.10	Duplicate Diploma Requests	AC+1		AC=Date submitted
	06.205.10	Applications for Admission or Readmission (Accepted)	AC+5		AC=Graduation or date of last attendance
	06.206.10	Academic Progress Audit Authorizations	AC+1		AC = Date submitted
	06.207.10	Changes of Course (add/drop)	AC+1		AC=end of academic term
	06.208.10	Change of Grade Forms (update documents)	AC+1		AC=Date submitted.
	06.209.10	Class Lists (original grade sheets)	AC+1		AC=Closed
	06.210.10	Class Schedules (students)	AC+1		AC=Graduation or date of last attendance
	06.211.10	Correspondence, Relevant to Students' Registration and Data Documents	AC+5		AC=Graduation or date of last attendance

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	06.212.10	Course Inventory Data File	5		
	06.213.10	Credit by Examination Forms	AC+5		AC=end of term credit is awarded or denied.
	06.214.10	Credit/No Credit Approvals	AC+1		AC=Date submitted
	06.215.10	Curriculum Change Authorizations	AC+5		AC=Graduation or date of last attendance
	06.216.10	Degree Audit Records	AC+5		AC=Graduation or date of last attendance
	06.217.10	Degree Audit Request Forms	AV		
	06.218.10	Disciplinary Action Documents – routine and advance disciplinary actions including dismissal, suspension, blocked from reenrollment, etc.	AC+5		AC=Graduation or date of last attendance
	06.219.10	Fee Assessment Forms	AC+5		AC=Graduation or date of last attendance
	06.220.10	Financial Aid Audit Documents	AC+3		AC= After annual audit accepted by Department of Education
	06.221.10	Foreign Student Forms (I-20, etc.)	AC+5		AC=Graduation or date of last attendance
	06.222.10	Grade Reports (registrar’s copies)	AC+1		AC=Distribution
	06.223.20	Graduation Lists	PM	I	Master microfilm copy stored in archives.
	06.224.10	Graduation Authorizations	AC+5		AC=Graduation or date of last attendance
	06.225.10	Hold or Encumbrance Authorizations	AV		
	06.226.10	Student Medical Records	AC+7		AC=Date of last visit
	06.227.10	Name Change Authorizations	AC+5		AC=Graduation or date of last attendance.
	06.228.10	Pass/Fail Requests	AC+1		AC=Date submitted
	06.229.10	Personal Data Information Forms	AC+1		AC=Graduation or date of last attendance
	06.230.10	Placement/Career Planning Records	AC+5		AC=Graduation or date of last attendance

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Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival
				Remarks
	06.231.10	Registration Forms	AC+1	AC=Date submitted
	06.232.10	Transcript Requests	AC+1	AC=Date submitted
	06.233.10	Transfer Credit Evaluations	AC+5	AC=Graduation or date of last attendance
	06.234.10	Tuition and Fee Charges	AC+5	AC=Graduation or date of last attendance
	06.235.10	Withdrawal Authorizations	AC+5	AC= date of last attendance
	06.236.10	Correspondence/Extension Class Records	7	
	06.237.10	Incomplete Grade Contracts	AC	AC=Settled
Section 6.3 – Certification Data/Documents				
	06.300.10	Class Rolls – Certification	FE+5	
	06.302.10	Enrollment Verifications	AC+1	AC=Verification
	06.303.10	Financial Aid Program Records	AC+5	AC=Graduation or date of last attendance or repayment of loan
	06.304.10	Social Security Certifications	AC+1	AC=Certification
	06.305.10	Teacher Certifications	AC+1	AC=Certification
	06.306.10	Veterans Administration Certification	AC+3	AC=Graduation or date of last attendance
Section 6.4 – Publications, Statistics, Institutional Reports				
	06.400.10	Catalogs	PM	
	06.401.10	Commencement Program	PM	
	06.402.10	Degree Statistics	PM	
	06.403.10	Enrollment Statistics	PM	

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Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	Remarks
	06.404.10	Grade Statistics	PM		
	06.405.10	Racial/Ethnic Statistics	PM		
	06.406.10	Schedule of Classes (institutional)	PM		
Section 6.5 – Family Educational Rights and Privacy Act Data/Documents					
	06.500.10	Requests for Formal Hearings	AC		AC=Terminate at same time as pertinent student record
	06.501.10	Requests and Disclosures of Personally Identifiable Information	AC		AC=Terminate at same time as pertinent student record
	06.502.10	Student Requests for Nondisclosure of Directory Information	AC+I		AC=Date submitted
	06.503.10	Student Statements on Content of Records Regarding Hearing Panel Decisions	AC		AC=Terminate at same time as pertinent student record
	06.504.10	Student’s Written Consent for Records Disclosure	AC		AC=Until terminated by the student, or terminate at same time as pertinent student record
	06.505.10	Waivers for Rights of Access	AC		AC=Until terminated by the student, or terminate at same time as pertinent student record
	06.506.10	Written Decisions of Hearing Panels	AC		AC=Terminate at same time as pertinent student record

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Section 6.6 – Other Student – Related Records					
06.600.10		Student Counseling Records – Academic	AC+5		AC=Completed
06.600.20		Student Counseling Records – Personal	AC+10		AC=Date of last contact with client; if client is a minor, AC=age of majority
06.601.10		Alumni Records	PM		
06.602.10		Library Holdings – card or automated catalogs, shelf lists, etc.	US		Holdings are not state records, but finding aids are.
06.603.10		Student Activities and Organizations	US+1		
06.604.10		Athletic Records	AV		Athletic Department to use retention schedule based on NCAA Retention Requirements in addition to State and System Schedule
06.605.10		Instructional Materials	US		
06.606.10		Field Trips and Sponsored Trips	AV		
AGENCY PROGRAM RECORDS					
Section 7.1 – Research and Development Records					
07.100.10		Forest Resource Development	FE+5		
07.101.10		Research Proposals – Denied (Not Funded)	3		

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Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	Remarks
	07.101.20	Research Files (Funded Projects)—Proposals, Agreements, and Related Records	AC+5		AC=Completion of the project or longer as required by the contract or grant, or applicable federal or state law.
	07.102.10	Chemical Analysis Reports	5		TAES-Texas State Chemist
Section 7.2 –Patient Records					
	07.200.10	Patient Records-Dental –This records series consists of the current and complete dental record for every patient seeking care or service from the Baylor College of Dentistry Clinic.	AC+10		<p>AC=Date of patient’s last visit</p> <p>If a patient is younger than 18 years of age when the patient was last treated, disposition may take place on or after the date of the patient’s 21st birthday or on or after the 10th anniversary of the date on which the patient was last treated, whichever date is later. 22 Tex. Admin. Code § 108.8(b).</p> <p>NOTE: Shadow files (copies) of patient records must be retained only for the duration necessary to assist the health care professional in tracking and providing care to the patient and should not be held any longer than the original record.</p>

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Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	Remarks
	07.200.20	Patient Records – Medical – The record may include but is not limited to the following examples: Deficiency Sheet, Data Sheet, Record of Sensitivity, Physician Orders, History and Physical documents; Surgical records; Progress Notes; Consultation Reports; Laboratory and ancillary reports; X-ray interpretation records; interpretations of the EEG, EKG and fetal heart monitor tracings; Nurses Notes; Consent Forms and Authorizations; Protocols and Proposals; and Advance Directives, for example, Medical Power of Attorney, Directive to Physicians Out of Hospital.	AC+10		<p>AC=Last Patient Visit</p> <p>After the 10th anniversary of the date on which the patient who is the subject of the record was last treated; if a patient is younger than 18 years of age when the patient was last treated, disposition may take place on or after the date of the patient’s 21st birthday or on or after the 10th anniversary of the date on which the patient was last treated, whichever date is later.22. Tex. Admin. Code § Section 165.1.</p> <p>NOTE: Shadow files (copies) of patient records must be retained only for the duration necessary to assist the health care professional in tracking and providing care to the patient and should not be held any longer than the original record. See agency item no. –7.200.10, Patient Records – Dental.</p>

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Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	Remarks
	07.200.30	Clinical Laboratory Records and Materials	AV		No records will be destroyed in the time shorter than required by regulation. The College of American Pathologists recommends that most laboratory records and materials be retained for 5 to 10 years at the minimum with records retained for a longer period of time when such would be appropriate for patient care, education or quality improvement needs. This record series includes materials such as wet tissue, paraffin blocks, slides, whole or dried blood, frozen tissue, serum/CSF/body fluids, donor and recipient records, gross photographs, reports, etc., for surgical pathology, cytology, nonforensic autopsy records, forensic autopsy records, clinical pathology records, cytogenetics records, blood bank, general laboratory and other diagnostic tests. SEE the Laboratory Accreditation Newsletter published in March 2001, available electronically at http://www.cap.org , for specific recommendations on retention of various materials and records.

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Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	Remarks
	07.200.40	Requests for Blood Component and Lab Tests -This series documents physician orders for laboratory tests in order to obtain blood components. It may include but is not limited to: name of patient; date; physician's signature; test(s) ordered and results; transfusion reactions, anti-body workups, and cord blood testing.	AC+10		Usually filed as part of the patient record. SEE patient records #07.200.10 and 07.200.20. NOTE: Shadow files (copies) of patient records must be retained only for the duration necessary to assist the health care professional in tracking and providing care to the patient and should not be held any longer than the original record.
	07.200.50	Pharmacy Prescription Dispensation Records - This series is used to provide an individual, daily summary, and annual summary record of initial drug dispensation and refills administered by the department as required by the Texas State Pharmacy Board. This series may include but is not limited to: prescription slips; in-house computer-generated Rx registers; controlled substance reports; and data base purge reports.	3		SEE ALSO 5.4.009 – Workplace Chemical Lists – which includes Controlled Substance Drug Logs
	07.200.70	Donor Records - Medical. This records series consists of completed bequeathal forms and cadaver information for people who have donated their bodies or organs or other body parts to the agency.	PM		

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Records Series Item No.	Agency Item No.	Record Series Title	Retention Period	Archival	Remarks
	07.200.80	Payment Waivers / Adjustments - Patient billing accounts that have been written off. Records may include but are not limited to payment waivers for prescriptions and co-pays; teaching case waivers, insurance explanation of benefits (EOB).	I		Dental School and clinics use these records as paper backup to electronic billing records systems.
Section 7.3 – Miscellaneous Program Records					
	07.300.10	4-H Records	AV		
	07.301.10	Camp Records	AV		

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