



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition  
 AV – Administratively valuable  
 CE – Calendar year end  
 FE – Fiscal year end  
 LA – Life of Asset  
 PM – Permanent  
 US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist  
 R/O – Review by State/University Archivist

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
001	1.1.002	Audits	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC=Publication or release of final audit findings.		The State Auditor's Office retains any copies of its audits performed on Texas state agencies.	
002	1.1.004	Legislative Appropriation Requests	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC	6			AC=September 1 of odd-numbered years.	I	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentations submitted to the Legislative Budget Board are archival.	
003	1.1.006	Complaint Records	Complaints received by an agency and records pertaining to the resolution of the complaint.	AC	2			AC=Final disposition of the complaint.		CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048.	



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004	1.1.007	Correspondence - Administrative	Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.		4				O	ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the University Archivist when these records have met their retention periods. CAUTION: This record 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.	



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005	1.1.008	Correspondence - General	Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.		2					SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.	
006	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						
007	1.1.011	Executive Orders	Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.	US	3				I		



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008	1.1.013	Calendars, Appointment and Itinerary Records	Calendars, appointment books or programs, and scheduling or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries and other activities of agency officials or employees.	CE	1				O	ARCHIVES NOTE: Only the calendars, appointments, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archivist when these records have met their retention periods. 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.	
009	1.1.014	Legal Opinions and Advice	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV					O	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048.	
010	1.1.019	Public Relations Records	News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.		2				O		



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011	1.1.020	Public Information Requests - Not Exempted	Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code).	AC	1			AC=Date request fulfilled.			
012	1.1.021	Public Information Requests - Exempted	Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code).	AC	2			AC=Date of notification that records are exempt.			
013	1.1.023	Organization Charts		US					I		
014	1.1.024	Plans and Planning Records	Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC	3			AC=Decision made to implement or not to implement result of planning process.	O	ARCHIVES NOTE: Data processing planning records are not archival.	
015	1.1.026	Texas Register Submissions	Copies of all proposed, withdrawn, emergency, and adopted rules; open meetings notices; or any other documents required by law to be submitted to the Texas Register.	AC	1			AC=Date of publication in the Texas Register.			
015A	1.1.027	Proposed Legislation	Drafts of proposed legislation and related correspondence.	AV							
016	1.1.038	Customer Surveys	Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC				AC=Final disposition of summary report.		SEE item number 1.1.067 for summary reports compiled from customer surveys.	



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017	1.1.040	Speeches, Papers and Presentations	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC				AC=End of term in office or termination of service in a state position.	O		
018	1.1.041	Suggestion System Records	Suggestions submitted by agency personnel and responses.		1						
019	1.1.043	Training Materials	Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US	1						
020	1.1.048	Litigation Files	Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC	1			AC=As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	O	ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation.	
020A	1.1.053	Registration Logs	Logs or similar records used to register persons appearing before state agencies as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission.	AC				AC=Report filed with the Texas Ethics Commission.			



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021	1.1.055	Strategic Plans	Information resources and operational strategic plans prepared in accordance with §2054.095 and §2056.002, Government Code.	AC	6			AC=September 1 of odd-numbered calendar years.	I	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
022	1.1.056	ADA (Americans with Disabilities Act) Documentation	Self evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act.		3					28 CFR 35.105(c).	



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023	1.1.057	Transitory Information	Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; telephone message notifications; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC				AC=Purpose of record has been fulfilled.		CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction signoffs (1.2.001) or in records dispositions 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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024	1.1.058	Meeting Agenda and Minutes	Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.	PM					I		
025	1.1.059	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 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.	
026	1.1.060	Meetings, Audio or Videotapes of Open	Audios or videotapes of open meetings of state boards, commissions, committees, and councils.	AC			90	AC=Official approval of written minutes of the meeting by the governing body of an agency.		CAUTION: Minutes of state agencies are permanent records. Audio and videotapes are not permanent media. State agencies may not retain audio or videotapes of the meeting in lieu of written minutes. The proceedings of all meeting of state boards, committees, commissions, and council must be reduced to writing. SEE caution comment at item number 1.1.058.	
027	1.1.061	Meeting - Notes	Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC			90	AC=Approval of the formal written minutes by the governing body.		SEE caution comment at item number 1.1.058.	



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028	1.1.062	Meetings - Supporting Documentation	Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.		2					SEE caution comment at item number 1.1.058.	
029	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation taken at internal agency staff meetings.		1						
030	1.1.064	Agency Performance Measures Documentation	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE	3					CAUTION: The FE+3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.	
031	1.1.065	Reports and Studies (Non-Fiscal)-Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV						CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. SEE especially item number 1.1.064.	



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032	1.1.066	Reports-Biennial or Annual Agency (Narrative)	Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute.	AC	6			AC=September 1 of odd-numbered calendar years.	I	ARCHIVES NOTE: The archival requirements is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
033	1.1.067	Reports and Studies (Non-Fiscal)	Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.		3				O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I, O, or E. SEE page ix for more information	
034	1.1.068	Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC	6			AC=September 1 of odd-numbered calendar years.			
035	1.1.069	Reports - Activity	Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.		1					CAUTION: SEE item number 1.1.064	



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036	1.1.070	Agency Rules, Policies, and Procedures - Final	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency’s programs, services, or projects.	AC	3			AC=Completion or termination of program, rules, policies or procedures	O	SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.	
037	1.1.071	Agency Rules, Policies, and Procedures – Working Files	Working files are used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency’s programs, services, or projects.	AC	3			AC=Completion or termination of programs, rules, policies or procedures.	O	SEE ALSO item number 1.1.070.	
038	1.1.072	Public Information Reports	Reports made to the Office of Attorney General on an agency's Public Information Act activities.		2						



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038A	1.1.073	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	O		
038B	1.1.074	Sunset Review Report and Documentation		AC	3			AC=After the subsequent Sunset Review.	O		
038C	1.1.075	Alternative Dispute Resolutions - Final Agreement	Final agreement described by Government Code 2009.054(c), associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state agency participated as a party on the agency's behalf.	AC	4			AC=Date of final agreement.		Texas Civil Practices and Remedies Code, Chapter 154.071.	
039	1.2.001	Destruction Authorizations	Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE	3						
040	1.2.003	Forms History File	Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	AC	1			AC=Discontinuance of use of form.			
041	1.2.004	Forms Inventory	Any periodic listing of all forms used internally or externally by an agency.	US							



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042	1.2.005	Records Retention Schedule (SLR 105)	Agency copy. Formally RMD 105. Includes documentation of certification and approval – forms SLR 105C (formally RMD 105C), and/or other forms designated by the State Records Administrator.	US						Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
043	1.2.006	Records Transmittal Forms	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.	AC	2			AC=Date of authorization for destruction or permanent transfer to the Archives and Information Services Division, Texas State Library and Archives Commission, by the Agency Records management officer.			
044	1.2.008	Request for Authority to Dispose of State Records (RMD 102)	Agency copy.	FE	3					Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
045	1.2.010	Records Disposition Logs	Logs or similar records listing records destroyed, or transferred to the University Archives, showing records series title, dates of records, and date destroyed.		10						
045A	1.2.011	Records Center Storage Approval Forms (RMD 106)	Agency copy.	US							
046	1.2.012	Records Inventory Worksheets		US							



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047	1.2.013	Records Control Locator Aids	Includes indexes, card files, shelf lists, registers, guides, etc.	AC				AC=When control aid is updated, revised, or no longer needed.		CAUTION: These records must carry the same retention period and archival code of the records they support.	
048	1.2.014	Records Management Plans	Records management plans and similar records that establish the policies and procedures under which records and information are managed by an agency.	US	1						
049	1.2.015	Disaster Recovery Service Transmittals (RMD 109)	Also includes documentation for disaster recovery services provided by other entities.	FE	1						
050	1.2.016	Disaster Recovery Service Approval Form (RMD 113)	Agency copy of form.	AC				AC=Until superseded or termination of service.			



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051	1.3.001	State Publications	One copy of each state publication, defined as information in any format that is produced by the authority of or at the total or partial expense of a state agency or is required to be distributed under law by the agency, and is publicly distributed. The term does not include information the distribution of which is solely limited to contractors with or grantees of the agency, staff persons within the agency or within other government agencies, or members of the public under a request made under the Public Information Act, Government Code, Chapter 552. The term includes but is not limited to: a publication distributed in print; on microform; as audiovisual materials; as interactive media or on electronic external storage device; as an on-line publication; which is an index to other on-line publications; as one or more text, graphic, or other digital files; or as a user interface to a computer database.	AC	2			AC=Until superseded or obsolete.		CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101-441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC 3.1-3.3.8).	





**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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052	1.3.002	Publication Development Files	Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV					O		
053	2.1.001	Processing Files	Machine-readable files used in the creation, utilization, and updating of master files.	AC				AC=Completion of 3rd verification cycle, or audit completion confirming successful transaction 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.	
054	2.1.002	Master Files	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables or relational databases used by applications or computer programs.	AC				AC=Completion of 3 <sup>rd</sup> 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.	



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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055	2.1.007	Software Programs	Automated software applications and operating system files including job control language, program listing/source code, etc.	AC				AC=Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.
056	2.1.008	Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC				AC=Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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057	2.1.009	Technical Documentation	Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate, and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	AC				AC=Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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058	2.1.010	Audit Trail Records	Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC				AC=All audit requirements have been met.			
059	2.1.011	Finding Aids, Indexes, and Tracking Systems	Automated indexes, lists, registers, and other finding aids used to provide access to records.	AC				AC=The related records have been destroyed.		CAUTION: These records must carry the same retention period and archival code of the records they support.	
060	2.2.001	System Monitoring Records	Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.	AV							
061	2.2.002	Chargeback Records to Data Processing Services Users	Records used to document, calculate costs, and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.	FE	3						
062	2.2.004	Computer Job Schedules and Reports	Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.			3					



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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063	2.2.010	Data Processing Policies and Procedures	Manuals, guidelines, or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.	US	3					CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number 2.1.009.	
064	2.2.011	Batch Data Entry Control Records	Forms and logs used to reconcile batches submitted for processing against batches received and processed.	AC				AC=When reconciliation confirmed.			
065	2.2.012	Output Records for Computer Production	Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV							
066	2.2.013	Quality Assurance Records	Information verifying the quality of system, hardware, or software operations including records of errors or failures and the loss of data resulting from such failures, documentation of abnormal termination and of error free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy.	AC				AC=No longer needed as an audit trail for any records modified.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

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067	2.2.014	Internet Cookies	Data resident on hard drives that make use of user-specific information transmitted by the Web server onto the user's computer so that the information might be available for later access by itself or other services.	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).	
068	2.2.015	History Files - Web Sites	A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.	AV							
069	2.2.016	Software Registrations, Warranties and License Agreements		LA	3						
070	3.1.001	Applications for Employment - Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.		2						29 CFR 1602.49(a).



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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071	3.1.002	Applications for Employment - Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedure, or in the employment advertisement.	AC	5			AC=Termination of employment.			
072	3.1.006	Employee Counseling Records	Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at supervisory level.	AC	3			AC=Termination of counseling.			
073	3.1.011	Employee Insurance Records	Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	AC				AC=Until superseded or termination of employment.		CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	
074	3.1.012	Employment Opportunity Announcements	Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.		2						29 CFR 1602.49(a).
075	3.1.013	Employment Contracts	Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC=Expiration or termination of the contract according to its terms.			Government Code, 441.1855.
075A	3.1.013	Employment Contracts	Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC=Expiration or termination of the contract according to its terms.			Government Code, 441.1855.



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

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076	3.1.014	Employment Selection Records	Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving record and previous injury checks, pre-employment physical examinations, pre-employment drug screening test results, polygraph examination results, and all other records that document the selection process.		2					CAUTION: Does not include criminal history checks. SEE item number 3.1.026.	29 CFR 1602.49(a).
077	3.1.018	Grievance Records	Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC	2			AC=Final decision on the grievance.		CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U.S. Department of Labor. SEE item number 1.1.048.	
078	3.1.019	Performance Appraisals			2						29 CFR 1620.32(c).





**STATE OF TEXAS**  
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SLR 105  
Rev. 2017-07

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079	3.1.020	Personnel Corrective Action Documentation	Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	AC	5			AC=Termination of corrective action.		CAUTION: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from this series used to support the disciplinary action must be retained for the minimum retention period described by item number 3.1.021.	
080	3.1.021	Personnel Disciplinary Action Documentation	Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force, and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC	5			AC=Termination of employment.			



**STATE OF TEXAS**  
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081	3.1.022	Personnel Information or Action Forms.	Forms or similar records used to create or change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment.		2						29 CFR 1602.49(a).
082	3.1.023	Position/Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	4			AC=Until superseded or job eliminated.			40 TAC 815.106(i).
083	3.1.024	Physical Examinations/Medical Reports	Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.	AC	2			AC=Until superseded or termination of employment.		CAUTION: Does not include pre-employment physical examinations. SEE item number 3.1.014.	
084	3.1.026	Criminal History Checks	Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC				AC=The criminal history record has served the immediate purpose for which it was obtained.		CAUTION: An agency that is authorized to obtain criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.	
085	3.1.027	Training and Educational Achievement Records (Individual)	Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC	5			AC=Termination of employment.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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086	3.1.029	Employment Eligibility, Documentation or Verification of	Federal reporting form (INS I-9)	AC	1			AC=Termination of employment.		CAUTION: Federal regulation requires that INS I-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period.	8 CFR 274a.2(b)(2)(i)(A) and (c)(2).
087	3.1.031	Employment 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.	
088	3.1.034	Resumes - Unsolicited	Retention period applies if an agency replies to the sender of the resume that it will be kept on file should future job openings occur.	AV						See item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.	
089	3.1.035	Performance Bonds	Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency. Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC=Expiration or termination of the bond according to its terms.		CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028. SEE related item 5.1.001. Contracts and Leases.	Government Code, 441.1855.



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
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089A	3.1.035	Performance Bonds	Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency. Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC=Expiration or termination of the bond according to its terms.		CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028. SEE related item 5.1.001. Contracts and Leases.	Government Code, 441.1855.
090	3.1.036	Apprenticeship Records	Summary of applicant qualifications, evaluation basis for selection or rejection, original applications, job assignments, promotions, separation, 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)
091	3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc.	AC	5			AC=Termination of employment.			
092	3.1.038	Public Access Option Form	Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code §552.024.	US						See item number 3.3.011.	



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

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093	3.1.039	Ombudsman Records	Consultation records, notes, letters, memos, emails, reports and other documentation.	AC				AC=Final decision or matter closed.		CAUTION: Does not include formal complaint filed with EEO. If matter becomes a grievance or the subject of counseling or litigation, or employee is subject to disciplinary action, the records are subject to retention in the appropriate records series. SEE 1.1.048, 3.1.006, 3.1.018, 3.1.020, and 3.1.021.	
094	3.2.001	Employee Deduction Authorizations	Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC	4			AC=After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.			
095	3.2.002	Employee Earning Records			4						40 TAC 815.106(i).
096	3.2.003	Federal Tax Records	Includes 1099, W2, FICA, and other tax records.	AC	4			AC=Tax due date, date claim is filed, or date tax is paid whichever is later.			25 CFR 31.6001-1(e)(2).
097	3.2.004	Income Adjustment Authorizations	Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.		2						29 CFR 516.6(c).
098	3.2.005	W-4 Forms	Employer's copy of "Employee's Withholding Exemption Certificate."	AC	4			AC=Until superseded, obsolete, or upon separation of employee.			26 CFR 31.6001-1(e)(2).
099	3.2.006	Wage Rate Tables			2						29 CFR 516.6(a)(2).



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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100	3.2.007	Unemployment Compensation Records		AC	5			AC=Termination of unemployment benefits.			
101	3.2.008	Direct Deposit Application/Authorizations		US							
102	3.2.009	State Deferred Compensation Records		AC	5			AC=All accounts with a vendor or vendors for the individual participant have been closed. For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the <i>Benefits Coordinator Reference Manual</i> issued by the Employees Retirement System of Texas			
103	3.2.010	Human Resources Information Systems (HRIS) Reports	Includes supporting documentation.	AC	4			AC=Date report issued.			
104	3.3.001	Affirmative Action Plans	Affirmative action plans for both regular employees and apprenticeship programs.		5						29 CFR 30.8(e) for apprenticeship plans.
105	3.3.004	Benefit Plans	Employee benefit plans such as pension, life, health, and disability insurance, deferred compensation, etc., including amendments.	US	1						29 CFR 1627.3(b)(2).



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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					Years	Months	Days				
106	3.3.010	Labor Statistics Reports	Reports providing statistical information on labor force.		3						
107	3.3.011	Former Employee Verification Records	Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC	75			AC=Termination of employment.		See item number 3.1.038.	
108	3.3.015	Position/Job Classification Review File	Records relating to review and monitoring of job classification within an agency.	US	3						
109	3.3.020	Work Schedules/Assignments	Work, duty, shift, crew, or case schedules, rosters, or assignments.		1						
110	3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the agency from TWC pertaining to employees.		3						
111	3.3.023	Reimbursable Activities, Requests and Authorizations to Engage In	Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE	3						
112	3.3.024	Personnel Policies and Procedures	Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.	US	3						
113	3.3.025	Job Procedure Records	Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US	3						



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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114	3.3.026	Agency Staffing Reports	Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name, staff hired during a month, detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US	3						
115	3.3.027	Aptitude and Skills Tests	Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US	2					CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.	29 CFR 1602.49
116	3.3.028	Aptitude and Skills Tests (Test Papers)	Aptitude and skills test papers required of job applicants or of current personnel to qualify for promotion or transfer.		2						29 CFR 1602.49
117	3.3.029	Aptitude and Skills Tests (Validation Records)	Records of the validation of aptitude and skills tests.	AC	2			AC=As long as the test is used by an agency.			29 CFR 1602.49
118	3.3.030	Training Administration Records	Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern an agency's programs, services, or projects.	US	2					CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.	





**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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119	3.3.031	EEO Reports and Supporting Documentation	Includes documentation used to complete EEO reports.		3						29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50.
120	3.3.032	Equal Pay Records	Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the federal Equal Pay Act.		3						29 CFR 1620.32.
121	3.4.001	Accumulated Leave Adjustment Requests	Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances on August 31, to correct errors on leave accumulation, and to close out accounts on separated employees.	FE	3						
122	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3						
123	3.4.003	Less Than Full-Time Worked Reports	Dates and hours.		4						40 TAC 815.106(i).
124	3.4.004	Overtime Authorizations			2						
125	3.4.005	Overtime Schedules			2						
126	3.4.006	Time Cards and Time Sheets			4						40 TAC 815.106(i).
127	3.4.007	Time Off and/or Sick Leave Requests		FE	3						



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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128	3.4.008	Sick Leave Pool Documentation	Request submitted, approval, number of hours transferred in and out, etc.	FE	3						
129	4.1.001	Accounts Payable Information		FE	3						
130	4.1.002	Billing Detail		FE	3					CAUTION: Does not include long distance telephone billing detail. SEE item number 5.5.001, 5.5.006, and 5.5.007.	
131	4.1.003	Cancelled Checks/Stubs/Warrants/Drafts		FE	3						
132	4.1.004	Encumbrance Detail		FE	3						
133	4.1.005	Inventory and Other Cost Files	Production, job, labor, quotes, pricing, specifications, etc.	FE	3						
134	4.1.006	Investment Transaction Files		FE	3						
135	4.1.007	Transfers or Budget Revisions	Transfers or adjustments to budgets.	FE	3						
136	4.1.008	Electronic Fund Transfer	Direct deposit registers	FE	3						
137	4.2.001	Cash Deposit Vouchers	Cash deposit slips	FE	3						
138	4.2.002	Cash Receipts	Includes receipts for fees (permits, licenses, renewals, etc.)	FE	3						
139	4.2.003	Daily Cash Receipts Logs		FE	3						
140	4.2.004	Encumbrance Vouchers	Orders, statements, change orders, etc.	FE	3						
141	4.2.005	Purchase Vouchers	Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	3						



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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142	4.2.006	General Journal Vouchers		FE	3						
143	4.2.007	Expenditure Vouchers	Travel, payroll, etc.	FE	3						
144	4.3.001	Sales Journals or Registers		FE	3						
145	4.3.002	Receipts Journals or Registers		FE	3						
146	4.3.003	Expenditures Journals or Registers		FE	3						
147	4.4.001	General and Subsidiary Ledgers		FE	3						
148	4.4.002	Accounts Receivable Ledgers		FE	3						
149	4.4.003	Accounts Payable Ledgers		FE	3						
150	4.4.004	Employee Savings Bonds Ledgers		FE	3						
151	4.5.001	Worksheets for Preparing Fiscal Reports		FE	3						
152	4.5.002	Internal Fiscal Management Reports	Includes agency monthly budget reports.	FE	3						



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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					Years	Months	Days				
153	4.5.003	Annual Financial Reports	Required by General Appropriations Act (100 day report)	AC	6			AC=September 1 of odd-numbered calendar years.		CAUTION: If an agency does not produce a biennial or annual narrative report as described in item number 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
154	4.5.005	External Fiscal Reports	Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB reports.	FE	3						
155	4.5.006	Annual Operating Budgets	Required by the General Appropriations Act.	FE	3						
156	4.5.007	USAS Reports - Daily		AC				AC=Receipt and reconciliation of monthly report.			
157	4.5.008	USAS Reports - Monthly		AC				AC=Receipt and reconciliation of annual report.			
158	4.5.009	USAS Reports - Annual		FE	3						
159	4.6.001	Balancing Records		FE	3						
160	4.6.002	Reconciliations		FE	3						
161	4.6.003	Cash Counts		FE	3						



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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162	4.7.001	Accounting Policies and Procedures Manual		US	3						
163	4.7.002	Bank Statements		FE	3						
164	4.7.003	Returned Checks/Warrants/Drafts (Uncollectable)		AC	3			AC=After deemed uncollectible.			
165	4.7.004	Capital Asset Records		LA	3						
166	4.7.005	Claim Files		AC	3			AC=Resolution of claim.			
167	4.7.006	Comptroller Statements		FE	3						
168	4.7.007	Detail Chart of Accounts	One for all accounts in use for a fiscal year.	FE	3						
169	4.7.008	Grant Records	This series documents state and federal grant projects participated in or administered by state agencies. It includes grant authorization records, which provide evidence of the award of grants to or by agencies; grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by agencies.	AC	3			AC=Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that records are retained for the appropriate retention period.	
170	4.7.009	Fixed Asset Sequential Number Logs		US	3						
171	4.7.010	Long-Term Liability Records	Bonds, etc.	AC	3			AC=Retirement of debt.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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					Years	Months	Days				
172	4.7.011	Texas Facilities Commission Statements (TFC)	Charge or bill statements received by agencies from the TFC for services provided.	FE	3						
173	4.7.012	Signature Authorizations	Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	AC	3			AC=US+FE			
174	5.1.001	Contracts and Leases	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publications of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract administration file per Texas Comptroller of Public Accounts Contract Management Guide. Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC=Expiration or termination of the instrument according to its terms.		See related item numbers 3.1.035 Performance Bonds and 5.3.007 Bid Documentations. See item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.	Government Code, 441.1855.



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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174A	5.1.001	Contracts and Leases	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publications of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract administration file per Texas Comptroller of Public Accounts Contract Management Guide. Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC=Expiration or termination of the instrument according to its terms.		See related item numbers 3.1.035 Performance Bonds and 5.3.007 Bid Documentations. See item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.	Government Code, 441.1855.
176	5.1.004	Mail and Telecommunication Listings	Any mailing address, telephone or fax number, or email address records maintained by an agency on its employees or on entities or persons it serves.	US							
177	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage.	FE	3						
178	5.1.007	Requisitions for In-Agency/Inter-Agency/Printing Service	Includes word processing and data processing	AV							
179	5.1.010	Licenses and Permits for Non-vehicles	Does not include licenses and permits issued by an agency as part of its statutory mandate.	AC	2			AC=Expiration date of license or permit.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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180	5.1.011	Photocopier and Telefax Usage Logs & Reports		AV							
181	5.1.012	Charge Schedules/Price Lists	Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges.	US	3						
182	5.1.013	Insurance Policies	For vehicles, equipment, etc. Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC=Expiration or termination of the policy according to its terms.			Government Code, 441.1855.
182A	5.1.013	Insurance Policies	For vehicles, equipment, etc. Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC=Expiration or termination of the policy according to its terms.			Government Code, 441.1855
183	5.1.014	Office Procedures	Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency, for example, agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US	1						
184	5.1.015	Correspondence Tracking Records	Any record created by an agency to tract any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers.		1						
186	5.1.017	Contract Log	List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE	3						





**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
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187	5.2.001	Appraisals - Building or Property		AV					O		
188	5.2.002	Building Construction Project Files	Planning, design, and construction records; accepted and rejected bids; correspondence; etc.	AC	10			AC=Completion of project.	O	SEE ALSO item numbers 5.2.003 and 5.2.028.	
189	5.2.003	Building Plans and Specifications	Includes architectural and engineering drawings, profiles, and blueprints of state owned buildings.	LA					O	SEE ALSO item numbers 5.2.002 and 5.2.028.	
189A	5.2.003	Building Plans and Specifications	Includes architectural and engineering drawings, profiles, and blueprints of leased buildings.	AC	2			AC=Termination or cancellation of lease.		SEE ALSO item numbers 5.2.002 and 5.2.028.	
190	5.2.004	Building Space Requests			1						
191	5.2.005	Calibration Records (Equipment or Instrument)			10						
192	5.2.006	Property Destruction, Certificates of		FE	3						
193	5.2.007	Damage Reports	Reports of damage to state property	FE	3						
194	5.2.008	Equipment History File	Includes requests for installation, movies, service, etc.; and service/repair logbooks, etc.	LA	3					For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.	
195	5.2.009	Equipment Inventory Detail Report Forms	Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE	3						
196	5.2.010	Equipment Manuals		LA							
197	5.2.011	Equipment Warranties		AC	1			AC=Expiration of Warranty.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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198	5.2.012	Estimate Files (Supply and Repair Cost Estimates)			1						
199	5.2.014	Inventory - Annual Physical	Property, equipment, supply verification.	FE	3						
200	5.2.015	Inventory, Notices of Equipment Removed From		FE	3						
201	5.2.016	Inventory System Update Listings	Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.	AC				AC=Transfer of information into annual listing.			
202	5.2.017	Lost and Stolen Property Reports		FE	3						
203	5.2.018	Quality Control Reports			2						
204	5.2.019	Service Orders	Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts and remarks		2						
205	5.2.020	Supply Usage Records		FE	1						
206	5.2.021	Surplus Property Sales Reports		FE	3						
207	5.2.022	Utility Usage Reports		AV							
208	5.2.023	Year-to-Date Activity (Inventory Listing)	Shows additions, changes, transfers, and deletions of information within the inventory system. Data include agency, division, tag number, batch, document, transaction date, location, item code, description, date and cost.	FE	3						



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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209	5.2.024	Material Specifications		AC	2			AC=Material is no longer in the agency.			
210	5.2.025	Equipment Descriptions and Specifications	Set by the agency.	AC	2			AC=Equipment is no longer in the agency.			
211	5.2.026	Facilities Reservation Logs	Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.		2						
212	5.2.027	Space Utilization Reports		AV							
213	5.2.028	Building Construction Contracts and Inspection Records	Building construction contracts, surety bonds, and inspection records.	LA	10				O	SEE ALSO item numbers 5.2.002 and 5.2.003.	
214	5.3.002	Freight Bills Paid		FE	3						
215	5.3.003	Freight Claims		AC	2			AC=Resolution of claim.			
216	5.3.004	Order - Acknowledgement		AV							
217	5.3.005	Packing Slips		AV							
218	5.3.007	Bid Documentation	Includes bid requirements/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. Associated with a contract executed, renewed, or amended on or before September 1, 2015.	AC	7			AC=Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.			Government Code, 441.1855.



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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218A	5.3.007	Bid Documentation	Includes bid requirements/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. Associated with a contract executed, renewed, or amended on or before August 31, 2015.	AC	4			AC=Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.			Government Code, 441.1855.
218B	5.3.007	Bid Documentation	Unsuccessful bids that do not meet agency submission requirements and are not included in bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.)	AC	2			AC=Date of notification of denial or date of withdrawal, as applicable.			Government Code, 441.1855.
219	5.3.008	Purchasing Logs	Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE	3						
220	5.3.009	Requests for Information	Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC				AC=Decision not to proceed with the procurement.		CAUTION: If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with item number 5.3.007.	



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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221	5.4.001	Accident Reports and Associated Documentation	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally on accident frequency.	CE	5					The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.	29 CFR 1904.33.
222	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency.	US							
223	5.4.003	Inspection Records	Fire, safety, and other inspection records of agency facilities and equipment.	AC	3			AC=Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency.		CAUTION: Does not include inspection reports of building construction: SEE item number 5.2.028.	
224	5.4.004	Fire Orders	Orders issued by Fire Marshal to correct deficiencies in compliance with the fire code.	AC	3			AC=Deficiency corrected.			
225	5.4.007	Hazardous Materials Training Records	Records of training given to employees in an agency hazard communications program.		5						Texas Health and Safety Code, 502.009(g).
226	5.4.008	Hazard Communication Plans		US	5						Texas Health and Safety Code, 502.009(g).
227	5.4.009	Workplace Chemical Lists			30						Texas Health and Safety Code, 502.005(d).



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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228	5.4.010	Material Safety Data Sheets		AC				AC=After sheets are updated or hazardous chemical no longer stored by agency, as applicable.			
229	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.		3						
230	5.4.012	Security Access Records	Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency facilities, equipment or automated systems.	AC	2			AC=Until superseded, date of expiration, or date of termination, whichever sooner.			
231	5.4.013	Disaster Preparedness and Recovery Plans		US							
232A	5.5.001	Billing Detail - Telecommunications (Other than TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE	3					SEE item number 5.5.006 for TEX-AN billing detail.	
232B	5.5.002	Long Distance Telephone Logs	Long distance logs created by agencies for internal documentation purposes. Includes any similar logs created for long distance facsimile or electronic transmissions.	AV							
233	5.5.003	Station Activity Reports	Internal listing of incoming/outgoing telephone activity to individual telephone stations.	AV							
234	5.5.004	System Activity Reports	Internal listing of all incoming/outgoing agency telephone activity.	AV							



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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234A	5.5.006	Billing Detail - Telecommunications (TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE	3					The billing agency will maintain all long distance TEX-AN records and will provide each using agency its summary of centralized capitol complex telephone service without call detail records. For these bill summaries, SEE item number 4.7.011. SEE item number 5.5.0001 for billing detail from carriers other than TEX-AN.	
235	5.5.007	Disputed Call Documentation	Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use.	FE	3						
236	5.6.001	Airplane Flight Logs	State Owned	LA	3						
236A	5.6.001	Airplane Flight Logs	Leased	FE	3						
237	5.6.002	Airplane Passenger Lists		FE	3						
238	5.6.003	Inspection Repair and Maintenance Records - Vehicles		LA	1						
239	5.6.004	License and Driving Record Checks		AC				AC=Until superseded or until termination of employment.			
240	5.6.005	Vehicle Use Reports	Includes mileage fuel/oil consumption, passengers carried and other related operational information.	FE	3						
241	5.6.007	Vehicle Titles & Registration		LA							



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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241A	5.6.008	Pilot License Verifications		AC	5			AC=Termination of employment.			
241B	5.6.009	Parking Permits or Assignments		US							
242		Admission and Assessment Records	Applications for admission or readmission; letters or forms evidencing grant or denial of admission, petitions for special admission or readmission; entrance examination reports (ACT, SAT, etc.); TASP score reports or exemption forms; local assessment test reports; residency status forms and oaths; Immigration and Naturalization Service forms; health and immunization reports; GED attainment documentation; and high school or prior college transcripts, transcript waivers, or statements of good standing.	AC	5			AC=Graduation or date of last attendance.			
243		Admission Records - Not Matched with Application	Transcripts or other admission or assessment documentation received during an admission period that cannot be matched with an application for admission.	AC	1			AC=End of admission period.		CAUTION: International student academic records must be retained at least 1 year after final notice to Immigration and Naturalization Service.	
244		Admission Records - Letters of Recommendation - Denied and did not enroll	Records of students denied admission or who were admitted but did not register.	AC			90	AC=Beginning of academic term for which admission denied or granted.			





**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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245		Admission Records - Letters of Recommendation - Accepted and enrolled	Records of students who did register.	AC	3			AC=Termination of enrollment.			
247		Academic Action Notifications	Academic Action Notifications: Copies of documentation notifying students of dismissal, academic probation, etc.	AC	3			AC=Termination of enrollment.			
248A		Advanced Placement and Credit Records: Credit Awarded	Transfer credit evaluations, national or state standardized test scores (e.g., CLEP, AP, CPS), credit by examination authorizations and reports, military course documentation (e.g., DANTES, USAFI) and evaluations, non-traditional transcripts and credentials, life experience records, requests for advanced credit, and similar documentation used to evaluate and determine award of credit by advanced placement.	AC	3			AC=Termination of enrollment.			
248B		Advanced Placement and Credit Records: Credit Not Awarded	See description 248A.	AC	1			AC=End of academic year in which decision made.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

Retention Codes (field 7)

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249		Course Registration and Status Records	Course Registration and Status Records - Registration forms, class rosters, and similar records providing information on which courses students are registered for at the beginning of an academic term, including documentation evidencing the conditions under which courses are undertaken (e.g., audit, pass/fail, and credit/no credit authorizations or approvals) or evidencing changes to registration status during the term (e.g., add/drop forms by student or instructor).	AC	1			AC=End of academic year.			
250		Degree Plans	A list of all the courses a student must take to meet their degree requirements.	AC	3			AC=Termination of enrollment.			
251		Registrar: Documentation Used to Post Grades	Grade sheets submitted by instructors, grade change documentation, advanced credit posting authorizations, and grade rolls or similar input documentation used in posting grades or credit data to transcripts.	PM						Registrar copy with instructor signature	
252		Faculty Grade Books	Grade sheets or books retained by faculty members that house the scores of students on misc. homework or exams throughout the academic year.	AC	3			AC=End of academic year.			
253		Student - Grade Reports	Copies of grade reports provided to students.	AC	1			AC=End of academic year.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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254		Student - Grade Appeals		AC	3			AC=After appeal denied or approved.			
255		Graduation Applications and Authorizations	Applications for graduation and authorizations certifying completion of degree requirements.	AC	3			AC = Graduation or date of last attendance.			
256		Graduation Lists	Lists of students graduating	PM							
257		Holds and Encumbrances	Documents used to place (and remove) holds on the release of transcripts or other academic data.	AC				AC=Until released.			
258		Personal Data Update Records	Change of address forms, name change authorizations, and similar source documentation used to update personal data information on transcripts or other student records.	AC				AC=Personal data updated.		Applies after student record updated. If a transcript or other student record is not updated, the source document providing the amended information must be retained for the same retention period as the record it was meant to update. This record group concerns personal data only.	
259		Transcripts	Transcript, or a record equivalent in function, of the academic achievement of each enrolled student, documenting courses taken, credit granted, grades received, and any degrees or certifications awarded (including any narrative assessments or evaluations prepared in lieu of an assigned grade.	PM							



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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260		Withdrawal Authorizations	Authorizations for a student to withdraw from classes after calendar deadlines without academic penalty for acceptable reasons.	AC	3			AC=End of academic term In which enrollment terminated.			
261		Financial Aid Application and Award Records - Income Contingent Loan (ICL), Perkins Loan, College Work-Study (CWS), and Supplemental Educational Opportunity Grant (SEOG) Programs.	Including (to the extent applicable to specific programs) applications, financial aid need analysis and eligibility forms, financial aid transcripts, selective service registration compliance statements, and any supporting documentation, statements of educational purpose, anti-drug abuse statements, student aid reports, authorizations and award forms, copies of documents submitted by students or parents for verification of student aid application information, and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs.	AC	5			AC=Submission of annual report for the award year.			By regulation - 34 CFR 682.610(d)(1), 674.19(e)(3), 675.19(b)(1), and 676.19(b).



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

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262		Financial Aid Application and Award Records - Pell Grants	Including (to the extent applicable to specific programs) applications, financial aid need analysis and eligibility forms, financial aid transcripts, selective service registration compliance statements, and any supporting documentation, statements of educational purpose, anti-drug abuse statements, student aid reports, authorizations and award forms, copies of documents submitted by students or parents for verification of student aid application information, and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs.	AC	5			AC=End of award year.			By regulation - 34 CFR 690.82(a).



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

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					Years	Months	Days				
263		Financial Aid Application and Award Records - Stafford (formerly Guaranteed Student Loan) and PLUS Programs.	Including (to the extent applicable to specific programs) applications, financial aid need analysis and eligibility forms, financial aid transcripts, selective service registration compliance statements, and any supporting documentation, statements of educational purpose, anti-drug abuse statements, student aid reports, authorizations and award forms, copies of documents submitted by students or parents for verification of student aid application information, and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs.	AC	5			AC=End of the period for which the loan was intended.			By regulation – 34 CFR 682.610(a)(2), 34 CFR 668.24.



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

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264		Financial Aid Application and Award Records - Health profession and nursing student loan programs [including the Health Education Assistance Loan (HEAL) Program].	Including (to the extent applicable to specific programs) applications, financial aid need analysis and eligibility forms, financial aid transcripts, selective service registration compliance statements, and any supporting documentation, statements of educational purpose, anti-drug abuse statements, student aid reports, authorizations and award forms, copies of documents submitted by students or parents for verification of student aid application information, and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs.	AC	5			AC=Termination of enrollment as a full-time student.			By regulation – 42 CFR 57.215(b), 57.315(a)(2), and 60.56(b).



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

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265		Financial Aid Application and Award Records - Veterans Administration educational assistance allowances	Including (to the extent applicable to specific programs) applications, financial aid need analysis and eligibility forms, financial aid transcripts, selective service registration compliance statements, and any supporting documentation, statements of educational purpose, anti-drug abuse statements, student aid reports, authorizations and award forms, copies of documents submitted by students or parents for verification of student aid application information, and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs.	AC	3			AC=Termination of enrollment.			By regulation – 38 CFR 21.4209(f).





**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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266		Financial Aid Application and Award Records - All other federal or state grant, scholarship, and work-study programs.	Including (to the extent applicable to specific programs) applications, financial aid need analysis and eligibility forms, financial aid transcripts, selective service registration compliance statements, and any supporting documentation, statements of educational purpose, anti-drug abuse statements, student aid reports, authorizations and award forms, copies of documents submitted by students or parents for verification of student aid application information, and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs.	AC	5			AC=End of award year.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

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267		Financial Aid Application and Award Records - All other federal or state loan programs.	Including (to the extent applicable to specific programs) applications, financial aid need analysis and eligibility forms, financial aid transcripts, selective service registration compliance statements, and any supporting documentation, statements of educational purpose, anti-drug abuse statements, student aid reports, authorizations and award forms, copies of documents submitted by students or parents for verification of student aid application information, and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs.	AC	5			AC=End of the period for which the loan was intended.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

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268		Financial Aid Application and Award Records - All local grant, scholarship, loan, or work study programs.	Including (to the extent applicable to specific programs) applications, financial aid need analysis and eligibility forms, financial aid transcripts, selective service registration compliance statements, and any supporting documentation, statements of educational purpose, anti-drug abuse statements, student aid reports, authorizations and award forms, copies of documents submitted by students or parents for verification of student aid application information, and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs.	AC	3			AC=End of award period.			
269		Records of Those who Applied but Did Not Receive Financial Aid	Financial Aid that was denied to applicant.	AC	1			AC=End of academic period for which aid denied.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

Retention Codes (field 7)

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270		Financial Aid Disbursement and Repayment Records - Income Contingent Loans (ICL) and Perkins Loans Programs	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the agency and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans.	AC	5			AC=Date of final repayment or cancellation.			By regulation – 34 CFR 674.19(e)(3) to cover both disbursement and repayment records.



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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					Years	Months	Days				
271		Financial Aid Disbursement and Repayment Records - College Work-Study (CWS) and Supplemental Educational Opportunity Grant (SEOG) Programs	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the agency and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans.	AC	5			AC=Submission of annual report for the award year.			By regulation – 34 CFR 675.19(b), 34 CFR 676.19(b) and 34 CFR 668.24.



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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272		Financial Aid Disbursement and Repayment Records - Pell Grant Program	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the agency and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans.	AC	5			AC=End of award year.			By regulation – 34 CFR 690.82(b), 34 CFR 668.24.



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
273		Financial Aid Disbursement and Repayment Records	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the agency and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans.	AC	5			AC=End of the period for which the loan was intended.			By regulation – 34 CFR 682.610(a)(2), 34 CFR 668.24.



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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					Years	Months	Days				
274		Financial Aid Disbursement and Repayment Records - Health profession and nursing student loan programs excluding the Health Education Assistance Loan (HEAL) Program.	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the agency and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans.	AC	5			AC=Date of retirement of the loan.			By regulation – 42 CFR 57.215(c) and 57.315(a)(3).





**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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					Years	Months	Days				
275		Financial Aid Disbursement and Repayment Records - Health Education Assistance Loan (HEAL) Program	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the agency and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans.	AC	5			AC=Termination of enrollment as a full-time student			By regulation – 42 CFR 60.56(b).



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

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					Years	Months	Days				
276		Financial Aid Disbursement and Repayment Records - Veterans Administration Educational Assistance Allowances	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the agency and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans.	AC	3			AC=Termination of enrollment.			By regulation – 38 CFR 21.4209(f).



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

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					Years	Months	Days				
277		Financial Aid Disbursement and Repayment Records - All other federal or state grant, scholarship, or work-study programs.	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the agency and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans.	AC	5			AC=End of award year.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

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					Years	Months	Days				
278		Financial Aid Disbursement and Repayment Records - Local grant, scholarship, or work-study programs.	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the agency and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans.	AC	3			AC=End of award year.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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					Years	Months	Days				
279		Financial Aid Disbursement and Repayment Records - Local loan program.	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the agency and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans.	AC	3			AC=Date of final repayment or cancellation.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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					Years	Months	Days				
280		Financial Aid Disbursement and Repayment Records - All other federal or state loan programs whose funds are administered by agencies other than the university.	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the agency and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans.	AC	5			AC=End of the period for which the loan was intended.			
281		Tuition Exemption Records	Applications for and supporting documentation evidencing the grant of tuition exemptions or remissions.	FE	3						
282		Access Policies	Written policies and procedures demonstrating how an agency meets the requirements of the Family Educational Rights and Privacy Act of 1974, as amended and federal rules adopted under the act.	US							



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

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283		Access to Information of Student Records	Access to Information, Records of: Documentation of requests from and disclosures to the student, to an official of the agency for what the agency has determined to be legitimate educational interests, to a party with written consent from the student, or to a party seeking directory information.		2						
284		Access to Information of Student Records, Other	Access to Information, Records of: Documentation of requests from and disclosures to any party not included in agency item number 283.	AC	5			AC=as long as disclosed record is maintained.			By regulation – 34 CFR 99.32(a)(2).
285		Access to Information Student Information, Written Consent	Access to Information, Records of: Written consents from the student for information disclosure.	AC	3			AC=Expiration of written consent.			
286		Access to Information Student Information, Written Refusal	Access to Information, Records of: Written refusals from the student to the disclosure of directory information, if requests are valid as long as the student is enrolled.	AC				AC=Applies after termination of enrollment.			
287		Access to Information Student Information, Written Refusal, Directory	Access to Information, Records of: Written refusals from the student to the disclosure of directory information, if requests must be renewed each academic year or each academic term.	AC				AC=After termination of enrollment, as applicable.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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					Years	Months	Days				
288		Access Waiver Records	Waivers of access by students to confidential letters and confidential statements of recommendation and revocations of such waivers.	AC				AC=For as long as the record to which access waiver documentation applies is maintained.			
289		Protest of Record Statements	Statements by students commenting on contested information in a student record, or stating why he or she disagrees with the university's decision not to amend a record, or both.	AC				AC=For as long as the record containing the contested information is maintained.			By regulation – 34 CFR 99.21(c)(1).
290		Record Amendment Requests and Related Documentation	Requests and Related Documentation: Requests from students to amend student records, notices by the university of denial or consent to amendments, requests for hearings on denied requests, hearing notices, and written decisions by hearing examiners.		2						
291		Accreditation Reports	Final self study evaluation reports and investigative and final accreditation reports from accrediting agencies relating to accreditation status of the university.	PM							





**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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					Years	Months	Days				
292		Planning Records	Preliminary self studies; planning documents used to establish goals and indicators; achievement reports; documentation evidencing community, staff, and student involvement in the establishment of performance objectives; and similar records created to plan for and monitor progress during interims between visits from accrediting agencies.	AC				AC=Applies after subsequent accreditation.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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					Years	Months	Days				
293		Fee Assessment and Collection Records	Records evidencing the assessment and collection of tuition and fees charged to and collected from each student.	AC	3			AC=Termination of enrollment.		CAUTION: The U.S. Department of Veterans Affairs requires that records as described above must be retained for 3 years from the termination of enrollment of all students, whether veterans or not. If fee statements and collection receipts are used as source documentation for entry of data on an account card or report maintained for each student, the statements and receipts may be treated as accounts receivable records and subject to the retention period given for item number 4.4.002. If the statements and receipts are the only documentation for the assessment and collection of tuition and fees, they must be retained 3 years beyond termination of enrollment. If the enrollment period for a student is less than a year, fee assessment and collection records relating to the student must be retained for FE+3 years.	By regulation – 38 CFR 21.4209(f).



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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					Years	Months	Days				
294		Financial Aid Fund Accounting Records - Income Contingent Loan (ICL), Perkins Loan, College Work-Study (CWS), and Supplemental Educational Opportunity Grant (SEOG) Programs.	Ledgers; journals; journal vouchers; banking records; applications and reports (including any non-fiscal performance evaluations or studies that may be required by terms of the program) submitted to federal, state, or other funding agencies; and similar records relating to the fiscal administration by an agency of federal, state, or local grant, scholarship, loan, or work-study funds. (For records involving the application by students for financial aid see item numbers 261-269; for disbursement and repayment records maintained on each recipient see item number 270-280.)	AC	5			AC=Submission of annual report for the award year.			By regulation – 34 CFR 668.24(e), 674.19(e)(3)(i)



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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295		Financial Aid Fund Accounting Records - Pell Grants	Ledgers; journals; journal vouchers; banking records; applications and reports (including any non-fiscal performance evaluations or studies that may be required by terms of the program) submitted to federal, state, or other funding agencies; and similar records relating to the fiscal administration by an agency of federal, state, or local grant, scholarship, loan, or work-study funds. (For records involving the application by students for financial aid see item numbers 261-269; for disbursement and repayment records maintained on each recipient see item number 270-280.)	AC	5			AC=End of award year.			By regulation – 34 CFR 690.82, 668.24.



**STATE OF TEXAS**  
**Records Retention Schedule**

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 Rev. 2017-07

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					Years	Months	Days				
296		Financial Aid Fund Accounting Records - Health Profession and Nursing Student Loan Programs	Ledgers; journals; journal vouchers; banking records; applications and reports (including any non-fiscal performance evaluations or studies that may be required by terms of the program) submitted to federal, state, or other funding agencies; and similar records relating to the fiscal administration by an agency of federal, state, or local grant, scholarship, loan, or work-study funds. (For records involving the application by students for financial aid see item numbers 261-269; for disbursement and repayment records maintained on each recipient see item number 270-280.)	AC	3			AC=Submission of periodic report.			By regulation – 45 CFR 74.53(b).



**STATE OF TEXAS**  
**Records Retention Schedule**

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 Rev. 2017-07

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297		Financial Aid Fund Accounting Records - Federal or State Grant, Scholarship, Loan, and Work-Study Programs whose Funds are Administered by University	Ledgers; journals; journal vouchers; banking records; applications and reports (including any non-fiscal performance evaluations or studies that may be required by terms of the program) submitted to federal, state, or other funding agencies; and similar records relating to the fiscal administration by an agency of federal, state, or local grant, scholarship, loan, or work-study funds. (For records involving the application by students for financial aid see item numbers 261-269; for disbursement and repayment records maintained on each recipient see item number 270-280.)	AC	5			AC=Submission of annual report for the award year or, if no report required, end of award year.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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298		Financial Aid Fund Accounting Records - Local Grant, Scholarship, Loan, and Work-Study Programs	Ledgers; journals; journal vouchers; banking records; applications and reports (including any non-fiscal performance evaluations or studies that may be required by terms of the program) submitted to federal, state, or other funding agencies; and similar records relating to the fiscal administration by an agency of federal, state, or local grant, scholarship, loan, or work-study funds. (For records involving the application by students for financial aid see item numbers 261-269; for disbursement and repayment records maintained on each recipient see item number 270-280.)	FE	3						
299		Academic Grievance Records	Records concerning the review of complaints and grievances of students against faculty members or university staff.	AC	5			AC=Graduation or date of last attendance.		Transfer to 1.1048 and 3.3.039 if grievance escalated.	
300		Faculty Activity and Assignment Records	Reports and similar records documenting teaching, student advisory, committee, administrative, and committee assignments of faculty members.		3						



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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301		Faculty Development Leave Records	Applications for faculty development leaves of absence, evaluations of and recommendations on leave requests, and associated records documenting a faculty development leave program.	AC	3			AC=Approval or denial of application.			
302		Faculty Grant Records	Records providing an accounting of grants received by faculty while on authorized development leave as provided by Section 51.105(b), Education Code, and similar records of grants received from any source by faculty in residence if the terms of the grant or agency policy require that an accounting of faculty grants be submitted to the governing body or administrative officers.	AC	3			AC=Receipt of grant.			
303		Promotion and Tenure Records	Evaluations, recommendations, and similar documentation relating to the review process for promotion or tenure for all faculty or staff in tenure track positions.	AC	5			AC=Termination of employment			By regulation – 29 CFR 1602.49.





**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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					Years	Months	Days				
304		General Education Development (GED) Testing Records - Answer Sheets	Answer sheets to GED test.	AC			30	AC=Posting to test score reports.			
305		General Education Development (GED) Testing Records - Applications for Testing and Result Documentation	Applications to take the GED test and applications for GED certifications.	FE	3						
306		General Education Development (GED) Testing Records - Test Booklet Inventory Logs	Inventory Logs or similar records of test booklets or other testing instruments over which control is necessary to the security and integrity of the test.		2						

This part is for the use of agencies that, under contract, administer the General Education Development (GED) test. Agencies under contract to administer the ACT, SAT, CLEP, AP, or similar national tests should retain records of testing according to the procedures and requirements established by the national testing services.



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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307		General Education Development (GED) Testing Records - Test Scores	Record of each person taking the GED test and the score received.	PM						NOTE: Do not confuse the test scores described here, which result from the administration of the GED test, with GED test scores or copies of certificates that may be present among the admission and assessment records described in the section above item numbers 243-245.	
308		Curriculum Development Files	Reports, studies, and similar records documenting the development of new courses and programs.		5					ARCHIVES NOTE: Some records of this type may merit permanent retention for historical reasons.	
309		Disciplinary Records - For Violations that Result in Expulsion	Documentation relating to violations and alleged violations of campus rules, codes of conduct, or other institution policies by students, including records relating to suspension, expulsion, or other disciplinary action.	AC	5			AC = Graduation or date of last attendance		NOTE: This record group does not include records relating to academic probation, suspension, or other action arising from a student's academic performance.	
310		Disciplinary Records - For All Other	For all other disciplinary action and those records concerning investigations that do not result in disciplinary action: Documentation relating to violations and alleged violations of campus rules, codes of conduct, or other institution policies by students, including records relating to suspension, expulsion, or other disciplinary action.	AC	5			AC = Graduation or date of last attendance		NOTE: This record group does not include records relating to academic probation, suspension, or other action arising from a student's academic performance.	



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

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311		Enrollment Census Reports	Attendance reports prepared by faculty on class census day and used as source documentation for enrollment reports submitted to the Texas Higher Education Coordinating Board.	FE	3						
313		Recruitment Records	Advertisement tearsheets, direct mail pieces, promotional literature, and similar material used to recruit students, including any training materials or manuals used to instruct recruitment representatives of the university.		3					NOTE: Retain one copy of each.	By regulation – 38 CFR 21.4209(f).
314		Room Scheduling Records		AV							
315		Statistical Reports	Annual statistical reports of enrollment, grades, graduates, racial/ethnic composition, student-pupil ratios, and other education-related matters submitted to the governing body, state or federal agencies, or accrediting organizations.	PM							
316		Athletics - Conference Records		AC	7			AC=Withdrawal from conference finalized and all issues resolved			
317		Athletic Eligibility Records - Student		AC	10			AC=Student separation from the department or university			
318		Athletic File - Students	Files on student athletes (Athletics Department)	AC	5			AC=Date of separation from the institution			
319		Calendar, Academic			5						



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
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321		Career Management Center Contact Files	Career Management Center Contact Files	AC	7			AC=Date of graduation or termination of enrollment.		Contains summary information on each visit/appointment with students.	
322		Counseling Files	Mental health counseling for students and employees	AC	7			AC=Date of last attended session.			
323		Copyright information		AC				AC=Expiration of copyright.			
324		Course Equivalencies		US	1						
325		Endowment and Gift Income Records		PM							
326		Graduate Assistant & Teaching Assistant	Contract letter and acceptance form.	AC	5			AC=Expiration or termination of the contract according to its terms + FE.			
327		Grants-Applications and Proposal-Funded		AC	7			AC=Expiration or termination of the grant or agreement according to its terms			
328		Grants-Applications and Proposal-Not Funded			3						
329		Housing-Disciplinary Records			7						
330		Housing-Residence Life Surveys			2						
331		Housing Records		FE	5					Retention based upon federal requirement for Pell Grants and other campus based programs.	34 CFR 676.19(c).
332		ID Card Requests - Students		AC				AC = Until superseded or expired.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
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333		Library - Circulation Records		FE	5						
334		Library - InterLibrary Loan (ILL) Borrow Requests		AC	4			AC=ILL transaction completed.			
335		Library - ILL Lending Requests		AC	1			AC=ILL transaction completed.			
336		Library - ILL Search Requests		AC				AC=ILL transaction completed.			
337		Library - Statistical Compilations	Surveys, questionnaires and similar documents used to prepare statistical reports.	AV							
338		Pesticide Application Records			3						
339		Police - Arrest Reports	Arrest reports on each person arrested and charged with a felony or misdemeanor not punishable by fine only.	AC	75			AC=Date of arrest, or date of death of individual, whichever is later			
340		Police - Daily Report	Narrative and/or statistical activity reports prepared by shift supervisors, unit heads, or other public safety personnel on daily or other periodic activities.		1						
341		Police - Incident Reports	Reports concerning incidents or complaints that, after investigation, did not appear to have involved the commission of a crime.		3						
342		Police - Tickets	Tickets that go to the Justice of the Peace.		5						



**STATE OF TEXAS**  
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344		Police - Offense Investigation Records	Case not cleared.	AC				AC=Statute of limitations has run out			
345		Police - Offense Investigation Records	Case in which an arrest is made and the case is cleared by the conviction or acquittal of the person, by dismissal of charges, or by the entry on the record of a court by a prosecuting attorney of a nolle prosequi:								
345a		Police-Offense Investigation Records	Class C misdemeanors and unclassified violations punishable by fine only, including parking and traffic violations.			6					
345b		Police-Offense Investigation Records	Class A and B misdemeanors and state jail felonies.		2						
345c		Police-Offense Investigation Records	Second and third-degree felonies		10						
345d		Police-Offense Investigation Records	First-degree and capital felonies		50						
345e		Police-Offense Investigation Records	Driving while intoxicated offenses		10						
350		Police Rap Sheets	Copies of rap sheets received from the Texas Dept. of Public Safety or other law enforcement agencies.	AV							
351		DWI Video Tapes	Tapes of persons on whom charges are not filed.				90				
352		DWI Video Tapes	Tapes of persons on whom charges are filed.	AC				AC=Upon return of tape by court or state's attorney.			



**STATE OF TEXAS**  
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353		Police Accident Reports	Records relating to traffic accidents, including accident reports, supplemental accident reports, photographs, correspondence, and related documentation.		2					RETENTION NOTE: If as the 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 retention period based on the class of felony or offense.	
354		Police - Child Abuse Reports	Copies of child abuse reports received by a law enforcement agency pursuant to Family Code, Sections 261.103 and 261.105 that do not become part of arrest and offense investigations.		3						
355		Police - Death in Custody Reports	Copies of reports submitted to the Attorney General concerning the deaths of persons while in the custody of a peace officer.		3						
356		Police - Family Violence Reports	Family violence reports that do not become a part of arrest or offense investigation records.		3						
357		Police Interrogation Reports	Reports on persons stopped and interrogated in the field because of suspicious behavior.	AV							



**STATE OF TEXAS**  
**Records Retention Schedule**

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358		Police Reports of Gunshot Wounds	Reports of the treatment or the request for treatment of gunshot wounds received from physicians or other persons as required by Health and Safety Code, Section 161.041.		3						
359		Police Missing and Unidentified Persons Files	Reports on missing children and adults, requests for investigation, photographs, fingerprints, dental records, x-rays, notifications of possible match, and similar documents relating to the location of missing children and adults, including similar records relating to unidentified bodies found in the county and reported to the sheriff.	AC	3			AC=Date person located or body identified.		Retention Note: If the location of the person or the identification of a body leads to a criminal investigation by the law enforcement agency, the records described must be retained for the same period as arrest and offense investigation records (see item numbers PS4125-02 and PS4125-05).	
360		Police Warning Citations	Issued for violations of motor vehicle laws or for those violations of the penal code (e.g. criminal trespass) in which the issuance of warning citation is customary.	AV							
361		Police Stolen Property Records	Cards, lists, or logs providing an abstract record of stolen property, including stolen vehicles, usually including description of item or vehicle, place and date stolen, serial numbers, and similar information.	AV							





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362		Police Uniform Crime Reports	Copies of uniform crime reports submitted to the Texas Dept. of Public Safety; monthly reports.		3						
363		Police Uniform Crime Reports	Copies of uniform crime reports submitted to the Texas Dept. of Public Safety; annual reports.	PM							
364		Police Concealed Handgun Records	Lists of persons who possess concealed handgun permits submitted by the Texas Dept. of Public Safety.	US							
365		Police Concealed Handgun Records	Copies of reports submitted to the Texas Dept. of Public Safety as required by 37 TAC 6.119 regarding reportable incidents involving holders of concealed handgun permits that do not become part of arrest and offense investigation records.		2						
366		Residency Questionnaire - Students			5						
367		International Studies - Student Files	Records for students traveling to Mexico, Spain, France and London or other foreign countries.		4						
368		Dental Hygiene Clinic	Patient medical file/records	AC	5			AC=Last date of service or until patient reaches 21st birthday, whichever later.			[By regulation - 22 TAC 109.44(b) for minimum retention required for dental records maintained by dentist.]



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369		Student Health Center Patient Medical File/Records	Medical records that include patient identification data; medical history; reports of relevant physical examinations; diagnostic and therapeutic orders; documentation of appropriate informed consent; clinical observations, including the results of therapy; reports of procedures, tests, and their results, including laboratory, pathology and radiology reports; and conclusions at termination of evaluation/treatment.	AC	10			AC=Last date of service, or 10 years past patient's 20th birthday, whichever later.		Retention Note: University policy to retain records longer than minimum required by state law.	22 TAC 165.1(b).