



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code	768	3. Agency Name Texas Tech University							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

Category 1: Administrative Records Section 1.1 - General									
1.1.002	34	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 + 7				
1.1.004	191	Legislative Appropriation Requests Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC + 6		AC + 6	I	AC = September 1 of odd-numbered calendar years. 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 documentation submitted to the Legislative Budget Board are archival.		
1.1.006	80	Complaint Records Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC + 2		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.		

Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value	CE – Calendar Year End FE – Fiscal Year End LA – Life of Asset PM – Permanent US – Until Superseded I – Transfer to University Archives O – Review by University Archivist



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			Agency	Storage	Total	9. Remarks		
1.1.007	89	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.	3		3	O	<p>ARCHIVES NOTE: Archival review is required only for the administrative correspondence of the Office of the President, senior and vice presidents, the Provost's Office, Legal Counsel, Internal Audit, and other upper executive staff members. This record series also includes correspondence from task forces, university committees and faculty.</p> <p>CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.</p>	
1.1.008	90	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.	1		1		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.	
1.1.010	105	Directives Any document that officially initiates, rescinds, or amends general office procedures.	US + 1		US + 1			

Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled
AV – Administrative Value

CE – Calendar Year End
FE – Fiscal Year End

LA – Life of Asset

PM – Permanent
US – Until Superseded

Archival Codes (Field 8)

I – Transfer to University Archives
O – Review by University Archivist



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			Agency	Storage	Total	9. Remarks		
1.1.011	135	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		US + 3	I		
1.1.013	177	Itinerary Information- Calendars and Appointment Books 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		CE + 1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. 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.	
1.1.014	190	Legal Opinions and Advice From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV		AV	O	Caution: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. See 1.1.048.	
1.1.019	225	Communications and Marketing- Faculty and Staff Subject Files News clippings, press releases and photographs.	10		10	O	Agency policy to retain longer than TSLAC minimum.	

Retention Codes (Field 7)				Archival Codes (Field 8)			
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			Agency	Storage	Total	9. Remarks			

1.1.019	284	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		2	O	
1.1.020	230	Public Information Requests- Approved 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 + 1		AC = Date request fulfilled.
1.1.021	231	Public Information Requests- Denied 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 + 2		AC = Date of notification that records are exempt.
1.1.023	233	Organization Charts	US		US	I	
1.1.024	257	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 + 3	O	AC = Decision made to implement or not to implement result of planning process. Archives Note: Data processing planning records are not archival.

Retention Codes (Field 7)

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Archival Codes (Field 8)

I – Transfer to University Archives
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			Agency	Storage	Total	9. Remarks		
1.1.026	282	Proof of Publication- Texas Register Submissions Copies of all proposed, withdrawn, emergency, and adopted rules; open meetings notices; or any other documents required by law to be submitted to the Texas Register.	AC + 1		AC + 1			
1.1.027	452	Proposed Legislation Drafts of proposed legislation and related correspondence.	AV		AV			
1.1.038	308	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC		AC		AC = Final disposition of summary report. See 1.1.067 for summary reports compiled from customer surveys.	
1.1.040	331	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC		AC	O	AC = End of term in office or termination of service in a state position.	
1.1.041	411	Suggestion System Records Suggestions submitted by agency personnel and responses.	1		1			

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			Agency	Storage	Total	9. Remarks		
1.1.043	430	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US + 1		US + 1			
1.1	429	Training Logs and Registers	AV		AV			
1.1.048	201	Litigation Files Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC + 1		AC + 1	O	AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit. ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the University Archivist for archival preservation.	
1.1.053	301	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		AC = Report filed with the Texas Ethics Commission.	

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			Agency	Storage	Total				9. Remarks
1.1.055	334	Strategic Plans Information resources and operational strategic plans prepared in accordance with 2054.095 and 2056.002, Government Code.	AC + 6		AC + 6	I	AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.		
1.1.056	16	ADA (Americans with Disabilities Act) Documentation Self evaluations and plans documenting compliance with the requirements of the Americans With Disabilities Act.	3		3		28 CFR 35.105(c).		

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			Agency	Storage	Total	9. Remarks					

1.1.057	433	<p>Transitory Information</p> <p>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.</p> <p>Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.</p>	AC		AC	<p>AC = Purpose of record has been fulfilled.</p> <p>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.</p> <p>The disposal of transitory information need not be documented through destruction signoffs (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).</p>
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			Agency	Storage	Total				
1.1.058	219	Meeting Agenda and Minutes Official agenda and minutes of state boards, committees, commissions, councils, task forces, councils, departments and administrative organizations that conduct open meetings as required by Government Code, Chapter 551.	PM		PM	I	ARCHIVES NOTE: Agency retains permanent record copy. CAUTION: This records series and item numbers 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.		
1.1.059	223	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 + 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.		
1.1.060	224	Meetings, Audio or Videotapes of Open Audio or videotapes of open meetings of state boards, commissions, committees, and councils.	AC + 90 days		AC + 90 days		AC = Official approval of written minutes of the meeting by the governing body of an agency. CAUTION: Minutes of state agencies are permanent records. Audio and videotapes are not permanent media. State agencies may not retain audio or videotapes of the meetings of governing bodies in lieu of written minutes. The proceedings of all meetings of state boards, committees, commissions, and councils must be reduced to writing.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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			Agency	Storage	Total	9. Remarks			
1.1.061	457	Meeting Minutes Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC + 90		AC + 90		AC = Approval of the formal minutes by the governing body.		
1.1.062	222	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		2	I	SEE caution comment at item number 1.1.058.		
1.1	220	Meeting Minutes, Medical Staff Committee	AV		AV		Cannot be subpoenaed, V.T.C.S 4447-D, Section 3.		
1.1.063	221	Meeting Minutes/Notes- Staff Minutes or notes, and supporting documentation, taken at internal agency staff meetings.	1		1				

Retention Codes (Field 7)				Archival Codes (Field 8)			
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			Agency	Storage	Total	9. Remarks					

1.1.064	19	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		FE + 3	CAUTION: The FE + 3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.
1.1.065	309	Reports and Studies- Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV		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 1.1.064.
1.1.066	304	Reports- Annual and Biennial 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 + 6	I AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.

Retention Codes (Field 7)				Archival Codes (Field 8)	
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			Agency	Storage	Total				
1.1.067	303	Reports and Studies- Administrative 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		3	O			
1.1.068	306	Reports on Performance Measures Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC + 6		AC + 6		AC = September 1 of odd-numbered calendar years.		
1.1.069	305	Reports- Employee/Activity Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, absences, task completion times, number of public contacts, and similar activities.	1		1		CAUTION: SEE item number 1.1.064.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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			Agency	Storage	Total				9. Remarks
1.1.070	272	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 + 3	O	AC = Completion or termination of program, rules, policies, or procedures. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071.		
1.1.071	273	Agency Rules, Policies, and Procedures - Working Files Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC + 3		AC + 3	O	AC = Completion or termination of program, rules, policies, or procedures. SEE ALSO Records Series Item Number 1.1.070.		
Category 1: Administrative Records Section 1.2 – Records Management									

Retention Codes (Field 7)				Archival Codes (Field 8)			
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			Agency	Storage	Total	9. Remarks			
1.2.001	294	Records Destruction Sign-Offs Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE + 3		FE + 3				
1.2.003	147	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 + 1	AC = Discontinuance of use of form.			
1.2.005	298	Records Retention Schedule (SLR 105) Agency copy. Formerly RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C), and/or other forms designated by the State Records Administrator.	US		US	Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.			
1.2.010	295	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 or transferred.	10		10				
1.2.012	296	Records Inventory Worksheets	US		US				

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1.2.013	293	Records Control Locator Aids Includes indexes, card files, shelf lists, registers, guides, etc.	AC		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.		
1.2.014	297	Records Management Plans Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US + 1		US + 1				
		Category 1: Administrative Records							
		Section 1.3 – Publications and Publicity							

Retention Codes (<i>Field 7</i>)				Archival Codes (<i>Field 8</i>)			
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			Agency	Storage	Total	9. Remarks	O				
1.3.001	20	Agency Publications 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 open records law, Government Code, Chapter 552. The term includes but is not limited to: a publication distributed in print, on microform, as audio visual material, as interactive media or on electronic external storage device; an on-line publication which is an index to other on-line publications, one or more text, graphic, or other digital files, or a user interface to a computer database.	AC + 5		AC + 5	O	AC = Date agency no longer makes the publication available for distribution. University retains record copy and sends required copies to the Texas State Publications Depository Program, Texas State Library and Archives Commission.				

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			Agency	Storage	Total				
1.3.001	21	Agency Publications- Serials/Newsletters	US + 5		US + 5	O	US = For serial publications issued in successive parts, from the date of release of the next part in the series. Send the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Agency policy to retain longer than TSLAC minimum.		
1.3.002	285	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		AV	O			
		Category 2: Electronic Data Processing Records							
Section 2.1 – Automated Applications									
2.1.001	38	Automated Files- Processing Files Machine-readable files used in the creation, utilization, and updating of master files.	AC		AC		AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur. See Note 1.		
2.1	37	Automated Files- Master Files (Backup)	US		US		These files must meet retention requirements for their specific category. See Note 1.		

Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Transfer to University Archives	O – Review by University Archivist
AV – Administrative Value	FE – Fiscal Year End		US – Until Superseded		



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2. Agency Code 768		3. Agency Name Texas Tech University							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
2.1.002	36	Automated Files- Master Files Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC		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: Software needed for access to electronic records must be retained for the period of time required to access the records. See Note 1; a & b only.		
2.1.007	327	Software Programs Automated software applications and operating system files including job control language, program listing/source code, etc.	AC		AC		AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		
2.1.008	160	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		AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		

Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Transfer to University Archives	
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2. Agency Code 768		3. Agency Name Texas Tech University							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			
2.1.009	110	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	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.			

Retention Codes (Field 7)				Archival Codes (Field 8)	
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			Agency	Storage	Total	9. Remarks			
2.1.010	35	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		AC = All audit requirements have been met.		
2.1.011	453	Finding Aids, Indexes, and Tracking Systems Automated indexes, lists, registers, and other finding aids used to provide access to records.	AC		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.		
		Category 2: Electronic Data Processing Records Section 2.2 – Computer Operations and Technical Support							
2.2.001	15	Activity Monitoring Records Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.	AV		AV				

Retention Codes (Field 7)				Archival Codes (Field 8)			
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			Agency	Storage	Total	9. Remarks			
2.2.002	83	Computer Utilization/Chargeback Records 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		FE + 3				
2.2.004	82	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 months		3 months				
2.2.011	43	Batch Data Entry Control Records Forms and logs used to reconcile batches submitted for processing against batches received and processed.	AC		AC		AC = When reconciliation confirmed.		
2.2.012	236	Output Records for Computer Production Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV		AV		Output may either be in printed or magnetic form. If magnetic, the files, programs and documentation must be available.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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			Agency	Storage	Total	9. Remarks	Remarks				

2.2.013	288	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	AC = No longer needed as an audit trail for any records modified.
2.2.014	456	Internet Cookies Data resident on hard drives that make use of user-specific information transmitted by the Web server onto the user's computer so that the information might be available for later access by itself or other servers.	AV	AV	The disposal of Internet cookies need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).
2.2.015	423	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	AV	The disposal of history files need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).
2.2.016	328	Software Registrations, Warranties and License Agreements	LA + 3	LA+3	

Retention Codes (Field 7)

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			Agency	Storage	Total	9. Remarks					

Category 3: Personnel Records Section 3.1 – Employee									
3.1.001	28	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		2		29 CFR 1602.49(a)		
3.1.002	27	Applications for Employment - Hired Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC + 5		AC + 5		AC = Termination of employment.		
3.1.006	91	Counseling Records Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisory level except in those agencies with counseling staff.	AC + 3		AC + 3		AC = Termination of counseling.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total	9. Remarks			
3.1.011	117	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	AC = Until superseded or termination of employment. CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.			
3.1.012	119	Employment Advertisements/Announcements Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.	2		2	29 CFR 1602.49(a)			
3.1.013	121	Employment Contracts	AC + 4		AC + 4	AC = Expiration or termination of the contract according to its terms.			
3.1.014	122	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		2	29 CFR 1602.49(a) CAUTION: Does not include criminal history checks. See 3.1.026.			

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			Agency	Storage	Total	9. Remarks			
3.1.018	159	Grievance Records Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC + 2		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 1.1.048.			
3.1.019	247	Performance Appraisals- Staff and Non-Tenure Track	2		2	29 CFR 1620.32(c)			
3.1.019	248	Performance Appraisals- Teaching Assistant [non-faculty]	AC + 3		AC + 3	AC = Completion of teaching course or lab. 29 CFR 1620.32(c)			
3.1.019	249	Performance Appraisals- Tenure Track	6		6	29 CFR 1620.32(c)			
3.1.020	250	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 + 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 disciplinary action must be retained for the minimum retention period described by item number 3.1.021.			

Retention Codes (Field 7)				Archival Codes (Field 8)	
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			Agency	Storage	Total	9. Remarks		
3.1.021	251	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 + 5		AC = Termination of employment.	
3.1.022	252	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		2		29 CFR 1602.49(a)	

Retention Codes (Field 7)				Archival Codes (Field 8)			
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			
3.1.023	276	Position/Job Descriptions Job descriptions, including all associated task or skill statements, for positions in an agency.	AC + 4		AC + 4	AC = Until superseded or job eliminated. 40 TAC 815.106(i).			
3.1.024	212	Physical Examinations – Drug Testing Records	AC + 2		AC + 2	AC = Termination of employment. CAUTION: Does not include pre-employment physical examinations. SEE number 3.1.014.			
3.1.024	216	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 + 2	AC = Until superseded or termination of employment. CAUTION: Does not include pre-employment physical examinations. SEE number 3.1.014.			
3.1.026	323	Security Clearances/Criminal History Checks Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC		AC	AC = The criminal history record has served the immediate purpose for which it was obtained. CAUTION: An agency that is authorized to obtain a criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.			

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			Agency	Storage	Total	9. Remarks			
3.1.027	431	Training and Educational Achievement Records (Individual) Certificates of completion, licenses, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC + 5		AC + 5	AC = Termination of employment.			
3.1.029	107	Documentation or Verification of Citizenship Federal reporting form (INS I-9).	AC + 1		AC + 1	AC = Termination of employment. 8 CFR 274a.2(b)(2)(i)(A) and (c)(2). CAUTION: Federal regulation requires that INS 1-9 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.			
3.1.031	114	Employee Benefits - Other than Insurance Agency copies of information relating to the selection of available benefit options other than insurance.	AC + 2		AC + 2	AC = Until superseded or termination of employment CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.			
3.1	50	Biographical Records- Resumes	AC + 1		AC + 1	O	AC = Termination of employment.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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			Agency	Storage	Total				
3.1.034	51	Biographical Records- Resumes Not Solicited	AV		AV		Retention period applies if an agency replies to the sender of a resume that it will be kept on file should future job openings occur. See item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.		
3.1.035	413	Surety/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.	AC + 4		AC + 4		AC = Expiration or termination of the bond according to its terms. CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028.		
3.1.036	346	Students- Apprenticeship Records Summary of applicant qualifications, evaluation basis for selection or rejection, original applications, job assignments, promotions, separations, layoffs, terminations, compensation records, conditions of work, time records, hours of training provided (separate from labor), minority status, and gender of all selected and rejected applicants.	5		5		29 CFR 30.8(e). 5 years retention unless otherwise stipulated by accreditation requirements, whichever is the longer of the two retention periods.		
3.1.037	118	Employee Recognition Records Awards, incentives, tenure, etc.	AC + 5		AC + 5		AC = Termination of employment.		

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			Agency	Storage	Total	9. Remarks					

3.1.038	283	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		US	SEE item number 3.3.011.
3.1.039	229	Ombudsman Records Consultation records, notes, letters, memos, emails, reports and other documentation.	AC		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.
Category 3: Personnel Records						
Section 3.2 – Payroll						
3.2.001	115	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 + 4	AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.
3.2.002	116	Employee Earnings Records Includes payroll notification letters	4		4	40 TAC 815.106(i).

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3.2.003	143	Federal Tax Records Includes 1099, W2, FICA, and other tax records.	AC + 4		AC + 4	AC = Tax due date, date the claim is filed, or date tax is paid whichever is later. 26 CFR 31.6001 - 1(e)(2).		
3.2.004	168	Income Adjustment Authorizations Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.	2		2	29 CFR 516.6(c).		
3.2.005	446	W-4 Forms Employer's copy of "Employees' Withholding Exemption Certificate."	AC + 4		AC + 4	AC = Until superseded, obsolete, or upon separation of employee. 26 CFR 31.6001-1 (e)(2).		
3.2.006	447	Wage Rate Tables	2		2	29 CFR 516.6(a)(2).		
3.2.007	436	Unemployment Claim Records	AC + 5		AC + 5	AC = After claim filed.		
3.2.007	437	Unemployment Compensation Records	AC + 5		AC + 5	AC = After compensation paid or rejected.		
3.2.008	104	Direct Deposit Application/Authorizations	US		US			
3.2.009	332	State Deferred Compensation Records	AC + 5		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.		
3.2.010	164	Human Resources Information System (HRIS) Reports Includes supporting documentation.	AC + 4		AC + 4	AC = Issuance of report.		

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3.2	245	Payroll- Cover Sheets/Notifications for Hourly Payroll	FE + 3		FE + 3	
3.2	246	Payroll- Zero Bills not written to history report	3 months		3 Months	
Category 3: Personnel Records Section 3.3 – Personnel Administration						
3.3.001	18	Affirmative Action Plans Affirmative action plans for both regular employees and apprenticeship programs.	5		5	29 CFR 30.8(e) for apprenticeship plans.
3.3.004	44	Benefit Plans Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	US + 1		US + 1	29 CFR 1627.3(b)(2).
3.3.010	187	Labor Statistics Reports Reports providing statistical information on labor force.	3		3	
3.3.011	145	Former Employee Verification Records - Departmental Only Departmental copies of employee information.	AC + 5		AC + 5	AC = Termination of employment.

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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			
3.3.011	146	Former Employee Verification Records - Personnel Office Only Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC + 75		AC + 75		AC = Termination of employment.		
3.3.015	277	Positions/Job Classification Review File Records relating to review and monitoring of job classifications within an agency.	US + 3		US + 3				
3.3.020	449	Work Schedules/Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1		1				
3.3.022	424	Texas Workforce Commission (TWC) Reports Reports to the agency from TWC or its predecessor pertaining to employees.	3		3				

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Transfer to University Archives	O – Review by University Archivist		
AV – Administrative Value	FE – Fiscal Year End		US – Until Superseded				



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2. Agency Code 768		3. Agency Name Texas Tech University							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			
3.3.023	434	Travel and 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		FE + 3				
3.3.024	274	Policies and Procedures- Personnel Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.	US + 3		US + 3				
3.3.025	179	Job Procedure Records Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US + 3		US + 3				

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Transfer to University Archives	O – Review by University Archivist		
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2. Agency Code 768		3. Agency Name Texas Tech University						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.3.026	22	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		US + 3			
3.3.027	30	Aptitude and Skills Tests Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US + 2		US + 2		29 CFR 1602.49 CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.	
3.3.028	31	Aptitude and Skills Tests (Test Papers) Aptitude and skills test papers of job applicants or of current personnel taking a test to qualify for promotion or transfer.	2		2		29 CFR 1602.49	

Retention Codes (Field 7)				Archival Codes (Field 8)			
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2. Agency Code 768		3. Agency Name Texas Tech University							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			
3.3.030	428	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		US + 2	CAUTION: Does not include hazardous material training records. See 5.4.007.			
3.3.031	108	EEO Reports and Supporting Documentation Includes documentation used to complete EEO reports.	3		3	29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50.			
3.3.032	124	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		3	29 CFR 1620.32.			
3.3	112	Employee Affidavits	AC + 5		AC + 5	AC = Until superseded or until termination of employment.			
3.3	120	Employee Confidentiality Forms	AC		AC	AC = Until superseded or until termination of employment.			
3.3	253	Personnel Office- New Position/ Reclassification Letters	PM		PM				
3.3	254	Personnel Office- Veterans' Preference Documents	PM		PM				

Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Transfer to University Archives	
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2. Agency Code	768	3. Agency Name					Texas Tech University				
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.		
			Agency	Storage	Total	9. Remarks					

Category 3: Personnel Records Section 3.4 – Time and Leave									
3.4.001	14	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 leave accounts on separated employees.	FE + 3		FE + 3				
3.4.002	188	Leave Status Reports Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE + 3		FE + 3				
3.4.003	192	Less Than Full-Time Worked Reports Dates and hours.	4		4		40 TAC 815.106(i).		
3.4.004	240	Overtime Authorizations	2		2				
3.4.005	241	Overtime Schedules	2		2				
3.4.006	426	Time Cards and Time Sheets	4		4		40 TAC 815.106(i).		
3.4.007	427	Time Off and/or Sick Leave Requests	FE + 3		FE + 3				
3.4.008	325	Sick Leave Pool Documentation Requests submitted, approvals, number of hours transferred in and out, etc.	FE + 3		FE + 3				

Retention Codes (<i>Field 7</i>)				Archival Codes (<i>Field 8</i>)			
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.		
			Agency	Storage	Total	9. Remarks					

Category 4: Fiscal Records Section 4.1 – Worksheets, Detail Information on Financial Event or Transaction						
4.1.001	9	Accounts Payable Information	FE + 3		FE + 3	
4.1.002	46	Billing Detail	FE + 3		FE + 3	CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001 and 5.5.007.
4.1.003	64	Canceled Checks/Stubs/Warrants/Drafts	FE + 3		FE + 3	
4.1.005	173	Inventory and Other Cost Files Production, job, labor, quotes, pricing, specifications, etc.	FE + 3		FE + 3	
4.1.006	176	Investment Transaction Files	FE + 3		FE + 3	
4.1.007	432	Transfers or Budget Revisions Transfers or adjustment to budgets.	FE + 3		FE + 3	
4.1.008	109	Electronic Fund Transfers Direct Deposit Registers.	FE + 3		FE + 3	
4.1	57	Budget Revisions	FE + 3		FE + 3	
Category 4: Fiscal Records Section 4.2 – Documents of Original Entry						
4.2.001	68	Cash Deposit Vouchers Cash deposit slips.	FE + 3		FE + 3	
4.2.002	69	Cash Receipts Includes receipts for fees (permits, licenses, renewals, etc.).	FE + 3		FE + 3	

Retention Codes (Field 7)				Archival Codes (Field 8)		
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

4.2.003	93	Daily Cash Receipts Logs	FE + 3		FE + 3		
4.2.004	123	Encumbrance Vouchers Orders, statements, change orders, etc.	FE + 3		FE + 3		
4.2.005	286	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE + 3		FE + 3		
4.2.006	151	General Journal Vouchers	FE + 3		FE + 3		
4.2.007	136	Expenditure and Travel Vouchers Travel, payroll, etc.	FE + 3		FE + 3		
Category 4: Fiscal Records Section 4.3 – Journals or Registers							
4.3	63	Business Transactions- Journals and Registers	FE + 3		FE + 3		
4.3.002	291	Receipts Journals or Registers	FE + 3		FE + 3		
4.3.003	137	Expenditures Journals or Registers	FE + 3		FE + 3		
4.3	202	Loan Journals or Registers	AC + 5		AC + 5		AC = Loan approved. Federally funded student financial aid must adhere to AC+5.
Category 4: Fiscal Records Section 4.4 – Ledgers							
4.4.001	152	General and Subsidiary Ledgers	FE + 3		FE + 3		
4.4.002	11	Accounts Receivable Ledgers	FE + 3		FE + 3		
4.4.003	10	Accounts Payable Ledgers	FE + 3		FE + 3		

Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled
AV – Administrative Value

CE – Calendar Year End
FE – Fiscal Year End

LA – Life of Asset

PM – Permanent
US – Until Superseded

Archival Codes (Field 8)

I – Transfer to University Archives
O – Review by University Archivist



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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.		
			Agency	Storage	Total	9. Remarks					

Category 4: Fiscal Records Section 4.5 – Reports						
4.5.001	450	Worksheets for Preparing Fiscal Reports	FE + 3		FE + 3	
4.5.002	172	Internal Fiscal Management Reports Includes agency monthly budget reports.	FE + 3		FE + 3	
4.5.003	25	Annual Financial Reports Required by the General Appropriations Act (100 Day Report).	AC + 6		AC + 6	O AC = September 1 of odd-numbered calendar years.
4.5.005	307	Reports- External Fiscal Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB reports, which are monthly construction reports and System HUB expenditures.	FE + 3		FE + 3	
4.5.006	26	Annual Operating Budgets Required by the General Appropriations Act.	FE + 3		FE + 3	O
Category 4: Fiscal Records Section 4.6 – Documents Showing Compliance with System of Internal Control						
4.6.001	41	Balancing Records	FE + 3		FE + 3	
4.6.002	292	Reconciliations	FE + 3		FE + 3	
4.6.003	67	Cash Counts	FE + 3		FE + 3	

Retention Codes (Field 7)				Archival Codes (Field 8)	
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AV – Administrative Value	FE – Fiscal Year End		US – Until Superseded		



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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.		
			Agency	Storage	Total	9. Remarks					

Category 4: Fiscal Records Section 4.7 – Other Fiscal									
4.7.001	8	Accounting Policies and Procedures Manual	US + 3		US + 3				
4.7.002	42	Bank Statements	FE + 3		FE + 3				
4.7.003	65	Canceled Checks - Returned/Uncollectable	AC + 3		AC + 3			AC = After deemed uncollectable.	
4.7.003	317	Returned Checks/Warrants/Drafts (Uncollectable)	AC + 3		AC+3			AC=After deemed uncollectable.	
4.7.004	66	Capital Asset Records	LA + 3		LA + 3				
4.7.005	73	Claim Files	AC + 3		AC + 3			AC = Resolution of claim.	
4.7.006	81	Comptroller Statements	FE + 3		FE + 3				
4.7.007	103	Detail Chart of Accounts One for all accounts in use for a fiscal year.	FE + 3		FE + 3				
4.7	154	Grants- Applications and Proposals	FE + 3		FE + 3		O		
4.7.008	155	Grants- Federal Information on File	AC + 3		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 federal funding agency. Agencies must ensure that records are retained for the appropriate retention period.	
4.7	156	Grants- Private Foundations and/or Non-State or Federal Sources: Approved	AC + 3		AC + 3			AC = Satisfaction of the grant according to its terms.	

Retention Codes (Field 7)	Archival Codes (Field 8)
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CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset PM – Permanent US – Until Superseded



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			Agency	Storage	Total	9. Remarks		
4.7	157	Grants- Private Foundations and/or Non-State or Federal Sources: Rejected	AC + 1		AC + 1			
4.7	158	Grants- State Grant Records	AC + 3		AC + 3			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).
4.7.010	55	Bonds and Notes- Cancelled and Paid, Interest Coupons [Long-Term Liability Records]	AC + 3		AC + 3			AC = Retirement of debt.
4.7	53	Bonds- Bond and Coupon Certificates of Destruction	AC + 3		AC + 3			AC = Retirement of debt.
4.7	54	Bonds- Current Bonds and Bondholder Records	AC + 3		AC + 3			AC = Retirement of debt.
4.7	300	Refunds and Repayments	FE + 5		FE + 5			Pell Grant Federal Regulations and other campus based programs 34 CFR 676.19. See also 34 CFR 668.24(e) for additional retention information.
4.7.012	326	Signature Authorizations Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	US + FE + 3		US + FE + 3			
4.7	435	Truth-in-Lending Statements	5	10	15			Buckley Amendment, Confidential record. Office of origin is responsible for arranging storage.

Retention Codes (Field 7)				Archival Codes (Field 8)			
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			Agency	Storage	Total	9. Remarks					

Category 5: Support Services Records Section 5.1 – General									
5.1.001	86	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC + 4		AC + 4	I	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.		
5.1.003	100	Delivery Reports	2		2				
5.1	204	Mail- Forwarding Address	1		1				
5.1	207	Mail- Shipping/Freight Information	AV		AV				
5.1.004	206	Mailing and Telecommunications Lists Any mailing address, telephone or fax number, or e-mail address records maintained by an agency on its employees or on entities or persons it serves.	US		US				
5.1.005	278	Postage Records Records and reports of postage expenses, including postal meter usage.	FE + 3		FE + 3				

Retention Codes (Field 7)	Archival Codes (Field 8)
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			
5.1.007	311	Requisitions for In-Agency or Inter-Agency Copy/Printing Service Includes word processing and data processing.	AV		AV				
5.1.011	256	Photocopier and Telefax Usage Logs and Reports	AV		AV				
5.1.012	72	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		US + 3				
5.1.013	171	Insurance Policies For vehicles, equipment, etc.	AC + 4		AC + 4		AC = Expiration or termination of the policy according to its terms.		
5.1.014	228	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		US + 1				

Retention Codes (Field 7)				Archival Codes (Field 8)			
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			Agency	Storage	Total	9. Remarks			
5.1.015	205	Mailing and Correspondence Tracking Records Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers.	1		1				
5.1.017	85	Contract Log List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE + 3		FE + 3				
		Category 5: Support Services Records Section 5.2 – Facilities Management							
5.2.001	29	Appraisals - Building or Property	AV		AV	O			
5.2	52	Boiler Records	5		5				
5.2	58	Building Capital Improvement Program	AV + 3		AV + 3	O			
5.2.002	60	Building Construction Project Files Planning, design, and construction records; accepted and rejected bids; correspondence; etc.	AC + 10		AC + 10	O	AC = Completion of project. See also item numbers 5.2.003 and 5.2.028.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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			Agency	Storage	Total				9. Remarks
5.2.003	61	Building Plans and Specifications Includes architectural and engineering drawings, profiles, and blueprints.	Owned= LA Leased= AC+2		Owned= LA Leased= AC+2	I	AC= For leased buildings, termination or cancellation of lease. See also item numbers 5.2.002 and 5.2.028.		
5.2.004	62	Building Space Requests	1		1				
5.4	99	Deeds and Easements	LA		LA	I			
5.2.006	70	Destruction, Certificate of Destruction of Property	FE + 3		FE + 3				
5.2.007	94	Damage Reports Reports of damage to state property.	FE + 3		FE + 3				
5.2.008	127	Equipment History File and Service Agreements Agreements or contracts between the agency and equipment vendor to provide maintenance service for equipment. Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc.	LA + 3		LA+3				
5.2.009	128	Equipment Inventory Detail Report Forms Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE + 3		FE+3				
5.2.010	129	Equipment Manuals	LA		LA				

Retention Codes (<i>Field 7</i>)				Archival Codes (<i>Field 8</i>)			
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.		
			Agency	Storage	Total	9. Remarks					

5.2	130	Equipment Use Logs	AV		AV	
5.2.011	131	Equipment Warranties	AC + 1		AC + 1	AC = Expiration of warranty.
5.2.012	132	Estimate Files (Supply and Repair Cost Estimates)	1		1	
5.2.014	175	Inventory- Annual Physical Property, equipment, supply verification.	FE + 3		FE + 3	
5.2.015	227	Notices of Equipment Removed From Inventory	FE + 3		FE + 3	
5.2.016	174	Inventory System Update Listings Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.	AC		AC	AC = Transfer of information into annual listing.
5.2.018	289	Quality Control Reports	2		2	
5.2.019	324	Service Orders Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks.	1		1	
5.2.020	412	Supply Usage Records	FE + 1		FE + 1	
5.2.021	414	Surplus Property Sale Reports	FE + 3		FE + 3	
5.2.022	438	Utility Usage Reports/Logs	AV		AV	

Retention Codes (Field 7)				Archival Codes (Field 8)	
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			Agency	Storage	Total	9. Remarks			
5.2.023	451	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		FE + 3				
5.2.024	210	Material Specifications	AC + 2		AC + 2		AC = After materials are used.		
5.2.025	126	Equipment Descriptions and Specifications	AC + 2		AC + 2		AC = Discontinuance of equipment.		
5.2.026	138	Facilities Reservation Logs Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.	2		2				
5.2.027	330	Space Utilization Reports	AV		AV				
5.2.028	59	Building Construction Contract and Inspection Records Building construction contracts, surety bonds, and inspection records.	LA + 10		LA + 10	O	SEE ALSO item numbers 5.2.002 and 5.2.003.		
5.2	255	Pesticide Application Records (TDA)	5		5		TDA Records Retained for 5 years. 30 year retention if usage exceeds 55 gal/year and farm labor costs exceed \$50,000/permanent and \$15,000/seasonal. Texas Dept. of Agriculture. 4 TAC 7.33.		
5.2	275	Pool Chemical Reading Logs	FE + 3		FE + 3				
5.2	299	Refrigerant Records	3		3				

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Transfer to University Archives			
AV – Administrative Value	FE – Fiscal Year End		US – Until Superseded	O – Review by University Archivist			



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Records Retention Schedule

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2. Agency Code 768		3. Agency Name Texas Tech University						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

5.2	319	Sanitation Landfill Tickets	FE + 3		FE + 3		
5.2	329	Site Development- Project and Planning Files and Related Materials	PM		PM	I	
5.2	448	Water Tests/Treatment	3		3		
		Category 5: Support Services Records Section 5.3 – Purchasing					
5.3.002	148	Freight Bills Paid	FE + 3		FE + 3		
5.3.003	149	Freight Claims	AC + 2		AC + 2		AC = Resolution of claim.
5.3.004	232	Order Acknowledgments	AV		AV		
5.3.005	242	Packing Slips	AV		AV		
5.3.007	45	Bid Documentation Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	FE + 3		FE + 3		Caution: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001 an 5.2.028.
5.3.008	287	Purchasing Logs Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE + 3		FE + 3		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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2. Agency Code	768	3. Agency Name					Texas Tech University				
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.		
			Agency	Storage	Total	9. Remarks					

5.3.009	310	Requests for Information (Goods and Services) Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC		AC	AC = Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.
		Category 5: Support Services Records Section 5.4 – Risk Management				
5.4.001	7	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		CE + 5	29 CFR 1904.33. The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.
5.4	111	Emission Records	5		5	
5.4.002	133	Evacuation Plans Plans for evacuation of agency facilities in cases of emergency.	US		US	
5.4.003	169	Inspection Records Fire, safety, and other inspection records of agency facilities and equipment.	AC + 3		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 5.2.028.

Retention Codes (Field 7)

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 US – Until Superseded

Archival Codes (Field 8)

I – Transfer to University Archives
 O – Review by University Archivist



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			Agency	Storage	Total	9. Remarks		
5.4.004	144	Fire Orders Orders issued by Fire Marshal to correct deficiencies in compliance with the fire code.	AC + 3		AC + 3			
5.4	161	Hazardous Materials Disposal Records	PM		PM			
5.4.007	162	Hazardous Materials Training Records Records of training given employees in an agency hazard communications program.	5		5			
5.4.010	209	Material Safety Data Sheets	AC		AC			
5.4.011	445	Visitor Control Registers Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.	3		3			
5.4.012	322	Security Access Records Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency or state facilities, equipment or automated systems.	AC + 2		AC + 2			
5.4.013	106	Disaster Preparedness and Recovery Plans	US		US			

Retention Codes (Field 7)				Archival Codes (Field 8)			
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

		Category 5: Support Services Records Section 5.5 – Telecommunications				
5.5.001	48	Billing Detail - Telecommunications (Other Than TEX-AN) In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE + 3		FE + 3	
5.5.002	203	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		AV	
5.5.003	333	Station Activity Reports Internal listing of incoming/outgoing telephone activity to individual telephone stations.	AV		AV	
5.5.004	416	System Activity Reports Internal listing of all incoming/outgoing agency telephone activity.	AV		AV	
5.5.007	47	Billing Detail- Disputed Call Documentation Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use.	FE + 3		FE + 3	

Retention Codes (Field 7)

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Archival Codes (Field 8)

I – Transfer to University Archives
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.		
			Agency	Storage	Total	9. Remarks					

Category 5: Support Services Records Section 5.6 – Vehicles						
5.6.003	170	Inspection Repair and Maintenance Records - Vehicles	LA + 1		LA + 1	
5.6.004	200	License and Driving Record Checks	AC		AC	AC = Until superseded or until termination of employment.
5.6.005	440	Vehicle Use Reports/Logs Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	FE + 3		FE + 3	
5.6.007	439	Vehicle Titles & Registrations	LA		LA	
5.6.009	243	Parking Permits or Assignments	US		US	
5.6	441	Vehicles- Inventory	FE + 3		FE + 3	
5.6	442	Vehicles- Minimum Use Waivers	LA + 1		LA + 1	
5.6	443	Vehicles Request for Transportation	FE + 3		FE + 3	
Category 6: Texas Tech Records Section 6.1 – Police Records						
6.1	258	Police- Accident Records	3		3	Lubbock Municipal Records Manual Item 10.08.
6.1	259	Police- Arrest/Criminal History Records (Adults)	75		75	Arrest reports must be retained 75 years or until the date of death of the individual, if known, for felonies and misdemeanors not punishable by fine only.
6.1	460	Police- Arrest/Criminal History Records (Adults)	6 months		6 months	Arrest reports for Class C misdemeanors must be retained 6 months.

Retention Codes (Field 7)	Archival Codes (Field 8)
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

6.1	260	Police- Arrest/Criminal History Records (Juvenile)	AC		AC	AC = Until court ordered expunction or the 25th birthday of the individual. Lubbock Municipal Records Manual Item 10.2.
6.1	261	Police- Communication Logs/Tapes	30 days		30 days	Lubbock Municipal Records Manual Item 10.09.
6.1	262	Police- Complaint Cards Records of investigation of law enforcement shooting incidents which result in death or injury to any person, including a police officer.	PM		PM	Local Retention Schedule for Records of Public Safety Agencies Item 4075-01.
6.1	469	Police- Complaint Cards Records of investigations that result in sustained formal discipline.	15		15	Local Retention Schedule for Records of Public Safety Agencies Item 4075-01.
6.1	470	Police- Complaint Cards Records of investigations that result in sustained informal discipline or of investigations whose findings are inconclusive.	AC + 5		AC + 5	AC = Retain 5 years, provided a 1 year infraction free period precedes the date of destruction. Local Retention Schedule for Records of Public Safety Agencies Item 4075-01.
6.1	471	Police- Complaint Cards Records of investigations whose findings are not sustained, unfounded, or exonerated.	3		3	Local Retention Schedule for Records of Public Safety Agencies Item 4075-01.

Retention Codes (Field 7)				Archival Codes (Field 8)	
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

6.1	472	Police- Complaint Cards Written complaints and records of oral complaints received from the public concerning the conduct of law enforcement officers, fire department personnel, and emergency medical personnel that do not lead to an internal affairs investigation.	AC + 2		AC + 2	AC = Determination not to initiate an internal affairs investigation + 2 years. Local Retention Schedule for Records of Public Safety Agencies Item 4075-01.
6.1	263	Police- Criminal Offense Records	AC + 10		AC + 10	AC = Solved cases- 10 years after final disposition of case. Unsolved cases- until the statute of limitations. Lubbock Municipal Records Manual Item 10.05.
6.1	264	Police- Field Interrogation Cards	1		1	Lubbock Municipal Records Manual Item 10.07.
6.1	265	Police- Gun Check In Records	AV		AV	
6.1	266	Police- Incident Reports	5		5	Lubbock Municipal Records Manual Item 10.06.
6.1	267	Police- Officer Call Activity Reports Complaints about police officers that are investigated by Internal Audit.	1		1	Lubbock Municipal Records Manual Item 10.17.
6.1	268	Police- Property Records (Lost and Found)	AC + 3		AC + 3	AC = Return or disposal of property. Lubbock Municipal Records Manual Item 10.24.
6.1	269	Police- Statistical Reports Files- Annual	PM		PM	
6.1	270	Police- Statistical Reports Files- Monthly	3		3	4025-01(b)
6.1	271	Police- Tickets	5		5	
		Category 6: Texas Tech Records Section 6.2 – Archives, Library & Museum				

Retention Codes (Field 7)	Archival Codes (Field 8)
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.		
			Agency	Storage	Total	9. Remarks					

6.2	6	Accession Records - Archives, Library & Museum	PM		PM	O	
6.2	49	Bindery Lists	FE + 3		FE + 3		
6.2	195	Library- Circulation Records	US		US		
6.2	196	Library- Interlibrary Loan Lending (ILL) Request	AC + 3		AC + 3		AC = Approval or denial of request.
6.2	198	Library- Interlibrary Loan Lending (ILL) Search Requests	FE + 3		FE + 3		
6.2	199	Library Course Materials	US		US		
Category 6: Texas Tech Records Section 6.3 – Academic and Miscellaneous TTU Records							
6.3	1	Academic Calendars	5		5	O	
6.3	12	Accreditation Records	FE + 10		FE + 10	O	Records kept according to accrediting organization's requirement.
6.3	13	Accreditation Records (State)	PM		PM	O	
6.3	23	Alumni files	AV		AV	O	
6.3	467	Athletic Records Includes NCAA graduation rate reports.	AV		AV	I	Athletic Department to use retention schedule based on NCAA Retention Requirements in addition to State and System Schedule.
6.3	32	Athletics- Conference Records	10		10	I	Agency policy.
6.3	33	Athletics- Game Films	AV		AV	O	
6.3	39	Audio/Visual Storage List	US		US		
6.3	40	Audio/Visual Software List	US		US		
6.3	56	Broadcast / Program Logs	FE + 3		FE + 3		

Retention Codes (Field 7)

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Archival Codes (Field 8)

I – Transfer to University Archives
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

6.3	74	Clark Scholars Program- Application Forms	PM		PM			
6.3	75	Clark Scholars Program- High School Transcripts	PM		PM			
6.3	76	Class Roll Summary	5		5			
6.3	77	Class Rolls and Rosters	5		5			
6.3	78	Classes- Schedule Change Requests	AV		AV			
6.3	79	Classes- Course Information and Descriptions	US		US	O		
6.3	84	Consent/Release Forms	AV		AV			
6.3	87	Copyright Information Documentation kept on materials that may have been used for university activity - such as publishing a book by Tech Press - but for which the university does not own the copyrights to and/or may not own the physical item itself.	AC + 10		AC + 10		AC = After activity is completed.	
6.3	88	Copyright Records Documentation kept on materials that were done as "work for hire" (created by employees within the scope of their employment) for which the university owns part or full rights to.	AC		AC		AC = 95 years from the work's first publication or 120 years from its creation, whichever is shorter. Copyright is automatic and does not have to be registered.	

Retention Codes (Field 7)				Archival Codes (Field 8)	
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			Agency	Storage	Total	9. Remarks		
6.3	468	Course Inventory Data Files – Office of Institutional Research Documentation kept by the Office of Institutional Research which is used to track historical information on courses, their credit hours, activity type and other related information.	PM		PM			
6.3	92	Curriculum Records	AV		AV	I		
6.3	95	Dean of Students- Student Information Files	5		5			
6.3	96	Dean of Students- Student Retention Reports and Information	AV		AV			
6.3	97	Death Certificates	PM		PM			
6.3	98	Deceased Student Files	AC + 9		AC + 9		AC = Date of notification of death.	
6.3	102	Departmental Grants, Financial Assistance, and Stipends Funds provided by a department to cover travel and research costs.	AC + 5		AC + 5		AC = Date of award.	
6.3	134	Exam Signup Sheets	US + 1		US + 1			
6.3	139	Faculty Handbooks	US		US	O		
6.3	140	Faculty Search Committee Records	AC + 3		AC + 3		AC = Selection. 29CFR1602.49(a)	
6.3	141	Faculty Teaching/Workload Reports	5		5			

Retention Codes (Field 7)				Archival Codes (Field 8)	
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			Agency	Storage	Total	9. Remarks	O		

6.3	142	Faculty Tenure Files Evaluations, recommendations, and similar documentation relating to the review process for promotion and tenure for all faculty or staff in the tenure track.	AC + 5		AC + 5	O	AC = Termination of employment. Not to exceed 20 years.
6.3	150	Fundraising Revenues/Planning	FE + 3		FE + 3		
6.3	153	Gift Income Records	PM		PM		
6.3	163	Housing- Lodging Requests	1		1		
6.3	165	Human Sciences- Volunteer Registration Forms	AV		AV		
6.3	166	Human Sciences- Volunteer Station Memoranda of Understanding (contracts)	AC + 4		AC + 4		AC = Termination of employment [contract].
6.3	167	Human Sciences- Volunteer and Volunteer Stations Information (database)	AV		AV		
6.3	178	Key Requests	AC + 3		AC + 3		AC = After keys are returned or locks changed.
6.3	180	Junction Campus - Public Education Information Management System (PEIMS Forms)	AV		AV		
6.3	181	KTXT-TV Digital Transition (DT) Files	AC + 10		AC + 10		AC = Life of grant.
6.3	182	KTXT-TV Tower Analysis/Maintenance	LA		LA		
6.3	183	KTXT-TV Premiums Inventory	AC		AC		AC = When items [promotional] are mailed out.
6.3	184	KTXT-TV Public Inspection Files	AC		AC		AC = Keep until FCC has notified otherwise.

Retention Codes (Field 7)

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Archival Codes (Field 8)

I – Transfer to University Archives
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			Agency	Storage	Total	9. Remarks		
6.3	185	KTXT-TV Record and Dub Requests	1		1			
6.3	186	KTXT-TV Telecourse Records	FE + 3		FE + 3			
6.3	193	Letters of Reference/Recommendations Miscellaneous letters pertaining to TTU activities unrelated to tenure or enrollment.	1		1		CAUTION: For letters of reference/recommendation related to faculty tenure see Faculty Tenure Files (#142); for staff see Performance Appraisals (3.1.019); and for student enrollment see Student-Applications (#344).	
6.3	194	Liability Release Forms/Records	PM		PM		Opinion, TTU General Counsel (8/1992).	
6.3	208	Mass Add/Drop Changes	AC + 1		AC + 1		AC = Changes made. Buckley Amendment, confidential record.	
6.3	211	Medical Financial Records related to services– Charge, Payment, Refund Batch Documents, Explanation of Benefits (EOBs)	AC + 10		AC + 10		AC=Date of service or until all audit questions, appeal hearings, investigations or court cases are resolved. Medicaid minimum is 5 years, 1TAC 354.1004; Medicaid Managed Care is 10 years 42 CFR 422.504(d)(2).	
6.3	215	Medical – Patient Files/Medical Records	AC + 10		AC + 10		AC = Clinical: Last date of service or the patient's 21 st birthday, whichever is later; Research: Research purposes/goals fulfilled/contract period ends, whichever is later. Any litigation must be concluded before final disposition. Texas Medical Board minimum is 7 years from the last date of service or the patient's 21 st birthday, whichever is later. 22 TAC 165; Medicaid Managed Care is 10 years (42 CFR 422.504(d)(2)) Caution: Any litigation must be concluded before final disposal.	

Retention Codes (Field 7)				Archival Codes (Field 8)	
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			Agency	Storage	Total	9. Remarks		

6.3	454	Medical Records – Hansen’s Disease	PM		PM	Records are of research significance and must be maintained permanently. Texas Department of State Health Services Retention Schedule for Medical Records.
6.3	455	Master Patient Index	PM		PM	Texas Department of State Health Services Retention Schedule for Medical Records.
6.3	226	Northwest Texas Small Business Development Center- Client Files	FE + 3	AV	FE + 3 + AV	Office of origin is responsible for arranging storage.
6.3	458	Office of Institutional Research- Student Retention Reports and Information	AV		AV	
6.3	459	Office of Institutional Research- Integrated Postsecondary Education Data System (IPEDS) Federal reports submitted to the state.	17	3	20	Agency policy.
6.3	234	Organizational Memberships	1		1	
6.3	235	Orientation Material	US + 1		US + 1	Office of origin retains record copy .
6.3	237	Outreach and Distance Education [IDEAL Program]- Enrollment records non-credit programs for k-12 children	3		3	
6.3	238	Outreach and Distance Education [IDEAL Program]- Marketing Record Book	5		5	
6.3	239	Outreach and Distance Education [IDEAL Program]- Scholarships for K-12 non-credit activities	5		5	

Retention Codes (Field 7)				Archival Codes (Field 8)			
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			Agency	Storage	Total	9. Remarks					

6.3	279	Professional Organizations- Non-Texas Tech Includes handouts, newsletters, brochures, meeting programs and agendas, subscriptions, membership information, etc.	AV		AV		CAUTION: These materials are disposable when no longer needed and should not be sent to the University Archives.
6.3	280	Professional Organizations- Texas Tech Includes handouts, newsletters, brochures, meeting programs and agendas, subscriptions, membership information, etc.	AV		AV	O	
6.3	290	Questionnaires and Surveys	AV		AV		
6.3	302	Registration Logs and Rosters Logs or sign-in sheets for meetings, conferences and special events	AV		AV		
6.3	318	Safety Reports	3		3		
6.3	335	Student Affairs- Student Services Fees Request	FE + 3		FE + 3		
6.3	415	Surveillance/Security Tapes	AC + 6 months		AC + 6 months		AC = After date recorded.
6.3	417	Tape, Audio- Music Performance Recordings	AV		AV	O	
6.3	418	Tape, Audio- Presentation, Recruitment, etc.	AV		AV	O	
6.3	419	Tape, Video- Broadcasts and Teleconferencing	AV		AV	O	
6.3	420	Tape, Video- Presentation, Recruitment, etc.	AV		AV	O	
6.3	421	Tape, Video- Teleconferencing Files	AV		AV		

Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled
AV – Administrative Value

CE – Calendar Year End
FE – Fiscal Year End

LA – Life of Asset

PM – Permanent
US – Until Superseded

Archival Codes (Field 8)

I – Transfer to University Archives
O – Review by University Archivist



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6.3	422	Teleconference Information	AV		AV		
6.3	425	Textbook adoption Records	3		3		
6.3	444	Vice-President for Research- Federal Initiatives (Redbook) Information compiled for use for legislative initiatives	AV		AV		
Category 6: Texas Tech Records Section 6.4 – Research and Patent Records							
6.4	24	Animals- Research/Laboratory Records	AC + 3		AC + 3		AC = End of project. Animal Welfare Act of 1966, P.L. 89-544
6.4	125	Equipment and Dyeing Formulas- International Textile Center	PM		PM		
6.4	244	Patents, Trademarks, Research Records, and Records Reflecting Usage	AC + 20		AC + 20		AC = After receipt of patent, and registration of trademark.
6.4	281	Project Information and Contracts- International Textile Center	AC + 7		AC + 7		AC = Project completion.
6.4	312	Research Applications	AC + 3		AC + 3	O	AC = Approval or rejection of application.
6.4	313	Research Data	PM		PM		Confidential until published.
6.4	314	Research Data- Raw	AC + 3		AC + 3		AC = Completion of project.
6.4	315	Research Services Dept.- Human Test Subjects	AC + 3		AC + 3		AC = Completion of project. 45 CFR 46.115(b).
6.4	316	Research Specimens- Non-Animal Research/Laboratory Records	AC + 3		AC + 3		AC = Completion of project.

Retention Codes (Field 7)	Archival Codes (Field 8)
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Category 6: Texas Tech Records Section 6.5 – Student Records						
6.5	2	Academic Testing Services- ACCUPLACER Applications and Scores (Master copies)	PM		PM	Buckley Amendment, Confidential record.
6.5	3	Academic Testing Services- American College Test (ACT) Residual Applications and Scores [Master copies]	PM		PM	
6.5	4	Academic Testing Services- College-Level Examination Program (CLEP) Score Rosters [Master copies]	PM		PM	Buckley Amendment, Confidential record.
6.5	5	Academic Testing Services- Student Exam Scores and Reports (Internal) for Admission and Placement Applies to exams, applications for exam and related materials administered and monitored by Academic Testing Services. Includes CLEP, correspondence applications, ACT Residual Applications and Scores, and Quick TASP/Quick THEA Applications.	AC + 5		AC + 5	AC = Selections. Buckley Amendment, Confidential record.
6.5	320	Scholarships- Awarded, Donor Files, etc. - Departmental	AC + 3		AC + 3	AC = Selection.
6.5	321	Scholarships- Awarded, Donor Files, etc. - Federal	AC + 5		AC + 5	AC = Selection. Federal Register, 1-19-81, Part 3, Dept. of Education, Vol. 46, no. 12, 672.19, P3C.

Retention Codes (Field 7)					Archival Codes (Field 8)	
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6.5	336	4th and 12th Class Day Reports	5		5	Buckley Amendment, Confidential record..
6.5	337	Academic Progress Records	AC + 5		AC + 5	AC = Graduation or date of last attendance. Buckley Amendment, Confidential record.
6.5	338	Academic Records	PM		PM	Buckley Amendment, Confidential record.
6.5	339	Academic Status Report	PM		PM	Buckley Amendment, Confidential record.
6.5	340	Academic Suspension Waiver	AV		AV	Buckley Amendment, Confidential record.
6.5	341	Add/Drop Class Records	AC + 5		AC + 5	AC = Graduation or date of last attendance. Buckley Amendment, Confidential record.
6.5	342	Advisement	AC + 5		AC + 5	AC = Graduation or date of last attendance.
6.5	343	Applications for Admissions- Enrolled/accepted	AC + 5		AC + 5	AC = Beginning of semester of application. Buckley Amendment, Confidential record. (Students may have access to admissions comments).
6.5	344	Applications for Admissions- Not enrolled and/or rejected Includes transcripts, acceptance letters, advanced placement records, applications for admission, correspondence, entrance examination reports, letters of recommendation, medical records, placement scores, readmission forms, and test scores.	AC + 1		AC + 1	AC = Beginning of semester of application. Buckley Amendment, Confidential record. (Students may have access to admissions comments).

Retention Codes (Field 7)				Archival Codes (Field 8)			
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			Agency	Storage	Total	9. Remarks		

6.5	345	Applications for Admissions- Not enrolled and/or rejected - Texas Tech University Health Sciences Center (TTUHSC)	AC + 3		AC + 3		AC = Beginning of semester of application. Buckley Amendment, Confidential record. (Students may have access to admissions comments).
6.5	347	Athletic Eligibility Records	AV		AV		Buckley Amendment, Confidential record. See Note 1.
6.5	348	Athletic File	AC + 3		AC + 3	O	AC = Graduation or last day of attendance.
6.5	349	Attendance Records	1	4	5		Buckley Amendment, Confidential record. Office of origin is responsible for arranging storage.
6.5	350	Authority to Inspect Records	AV		AV		
6.5	351	Change of Status Forms	AC + 5		AC + 5		AC = Graduation or date of last attendance.
6.5	352	Class Roll Summary	1	4	5		Office of origin is responsible for arranging storage.
6.5	353	Class Schedules: Preparation Records	1	4	5		Office of origin is responsible for arranging storage.
6.5	354	Comprehensive Exams	AV		AV		
6.5	355	Counseling Notes	AC + 10		AC + 10		AC = After last session attended.
6.5	356	Course Equivalencies	US + 1		US + 1		
6.5	357	Course Outlines and Descriptions	FE + 1	6	FE + 7		Office of origin is responsible for arranging storage.
6.5	358	Course Proposal Files	5		5	O	Curriculum development files should be kept 5 years. JC 3900-01.
6.5	359	Curriculum Change Records	AV		AV		
6.5	360	Data Sheets	AC		AC		AC = Graduation or date of last attendance.
6.5	361	Degree Application	AC + 5		AC + 5		AC = Graduation or date of last attendance. Buckley Amendment, Confidential record. AACRAO guidelines.
6.5	362	Degree Plans	PM		PM		Buckley Amendment, Confidential record.

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			Agency	Storage	Total	9. Remarks					

6.5	363	Disciplinary Records	AC + 7		AC + 7		AC=Graduation or withdrawal. Buckley Amendment, Confidential record.
6.5	364	Enrollment Statistics	PM		PM	I	Retention period based on TACRAO guidelines for statistical reports.
6.5	365	Enrollment Verification	AC + 1		AC + 1		AC = Verification. Buckley Amendment, Confidential record. However, student directory information which includes names, on-campus address, D.O.B. and major is public information.
6.5	366	Evaluations of Course Instructor	3		3		
6.5	367	Evaluations of Course Instructor Reports	6		6		
6.5	368	Exam Make Up Request	2		2		
6.5	369	Exam Scantrons & Reports	1		1		
6.5	370	Excused Absence Requests	1		1		
6.5	374	Grade Changes	PM		PM		Buckley Amendment, Confidential record. Retention period based on TACRAO guidelines for change of grade forms.
6.5	375	Grade Reports Sent to Students	1		1		Buckley Amendment, Confidential record.
6.5	376	Grade Sheets (Original)	PM		PM		Buckley Amendment, Confidential record. Retention period based on TACRAO guidelines for class lists (original grade sheets).
6.5	377	Graduation Status and Ranking	PM		PM		Buckley Amendment, Confidential record. Retention period based on TACRAO guidelines.
6.5	378	Housing Records	FE + 5		FE + 5		All audit requirements will be met prior to disposal. Retention based upon Federal requirements for Pell Grant and other campus based programs. 34 CFR 676.19(c).
6.5	379	ID Request	AC + 1		AC + 1		AC = Request received. Buckley Amendment, Confidential record.

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			Agency	Storage	Total	9. Remarks		
6.5	380	ID System [University] Includes name, ID number, meal plan, Techexpress plans, classification, address, access privileges both building and student access to facilities such as rec., student health, ethnicity, gender, etc.	AC + 4		AC + 4			
6.5	381	Immigration Records	AC + 5		AC + 5			AC = Graduation or withdrawal. Buckley Amendment, Confidential record.
6.5	382	Military Training, Credit for	AV		AV			Buckley Amendment, Confidential record.
6.5	383	Name Change Request	AC + 5		AC + 5			AC = Request received. Buckley Amendment, Confidential record.
6.5	384	Nondisclosure of Information	CE + 1		CE + 1			Buckley Amendment, Confidential record.
6.5	385	Pass/Fail Records	AC + 1		AC + 1			AC = Graduation or withdrawal. Buckley Amendment, Confidential record.
6.5	386	Permits for Admission to Register	AV		AV			Buckley Amendment, Confidential record.
6.5	387	Placement and Career Counseling	AC + 5		AC + 5			AC = Termination of counseling. Buckley Amendment, Confidential record.
6.5	388	Probation/Suspension	AV		AV			Buckley Amendment, Confidential record.
6.5	390	Recognition (Awards, etc.)	AC + 3		AC + 3	O		AC = Issuance of award or recognition.
6.5	391	Recruitment Records	AC + 1		AC + 1			AC = After application term. Buckley Amendment, Confidential record.

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			Agency	Storage	Total	9. Remarks		

6.5	392	Students- Reports Reports generated by departments that do not fall in other categories such as admissions, grades, financial aid, etc.	5		5	Buckley Amendment, Confidential record.
6.5	393	Residency Questionnaire	AV		AV	Buckley Amendment, Confidential record.
6.5	394	Scholarship Applications (Rejected)	AC + 1		AC + 1	AC = Selections. See also Students- Financial Aid Records. Buckley Amendment, Confidential record.
6.5	395	Scholarship Records (Departmental)	AC + 3		AC + 3	AC = Selections. Buckley Amendment, Confidential record.
6.5	396	Scholarship Records (Federal)	AC + 5		AC + 5	AC = Selections. Federal Register, 1-19-81, Part 3, Dept. of Education, Vol. 46, No. 12, 672.19, P3C. Buckley Amendment, Confidential record.
6.5	397	Scores and Reports (External), Admission	AC + 5		AC+5	AC = Selections. Buckley Amendment, Confidential record.
6.5	398	Students- Statistics Historical information gathered on the student make up of the university, including degrees given and racial/ethnic information.	PM		PM	
6.5	399	Stipend Acceptance Forms	10		10	
6.5	400	Student Organizations	AV		AV	O
6.5	401	Student Teaching	AC + 10		AC + 10	AC = Completion of teaching.
6.5	402	Test Materials (External)	US		US	
6.5	403	Tests, Student Academic	AC + 1		AC + 1	AC = After test administered. Buckley Amendment, Confidential record.

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6.5	404	Transcript Request	AC + 1		AC + 1	AC = Date submitted. Buckley Amendment, Confidential record.
6.5	405	Transcripts	PM		PM	Buckley Amendment, Confidential record. Retention period based on TACRAO guidelines for academic records.
6.5	406	Transcripts [applicants who did not attend and/or get accepted]	AC + 1		AC + 1	AC = Date received. Buckley Amendment, Confidential record.
6.5	407	Veterans Affairs Records	AC	3	AC + 3	AC = Graduation or date of last Attendance.
6.5	408	Waivers for Rights of Access	AC		AC	AC = Date terminated.
6.5	409	Withdrawal Authorizations	AC	3	AC + 3	AC = End of academic term in which enrollment terminated. Local schedule Item JC25-12.
Category 6: Texas Tech Records Section 6.6 – Financial Aid Documents						
6.6	371	Financial Aid Assistance Records	AC + 5		AC + 5	AC = End of award year. All audit requirements will be met prior to disposal. Office of origin is responsible for arranging storage.
6.6	461	Federal Parent Loan for Undergraduate Students (PLUS) Loan Program	AC + 5		AC + 5	AC = End of loan period for which loan was intended. 34 CFR 682.610(a)(2)
6.6	462	Pell Grants	AC + 5		AC + 5	AC = End of award year. 34 CFR 690.82(a)
6.6	463	Perkins Loan Program – National Direct Student Loan (NDSL) – Original Promissory Notes	AC + 5		AC + 5	AC = Assigned to U S Dept of Education, cancelled or repaid. 34 CFR 674.19(e)(3)
6.6	464	Perkins Loan Program (NDSL) – Loans Repaid	AC + 5		AC + 5	AC = Date of final payment. 34 CFR 674.19(e)(3)

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			Agency	Storage	Total					
6.6	465	Primary Care Loan Program Health profession and nursing student loan programs.	AC + 5		AC + 5		AC = Date of retirement of loan. 42 CFR 57.215(c) and 42 CFR 57.315(a)(3)			
6.6	466	Supplemental Educational Opportunity Grants (SEOG)	AC + 5		AC + 5		AC = Submission of Fiscal Operations Report and Application to Participate (FISAP report). 34 CFR 676.19			
6.6	410	Work-Study: Certificates of Payment	AC + 5		AC + 5		AC = Submission of FISAP report. All audit requirements will be met prior to final disposal. 34 CFR 675.19.			

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