

CAUTION

A state record with an expired retention period may not be destroyed if any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record is initiated; its destruction shall not occur until the completion of the action and the resolution of all issues that arise from it.

A state record with a retention period that expires during any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record may not be destroyed until the completion of the action and the resolution of all issues that arise from it.

Amendment Note: If this schedule is amended at any point after certification, updated records series will be indicated by an asterisk (*) preceding the Agency Item Number (AIN).





THE TEXAS A&M UNIVERSITY SYSTEM
Records Retention Schedule

Retention Codes (Field 7)

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 US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
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Texas A&M System Records Retention Schedule (9th Recert., eff. 08/26/2024)

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
01.100.10	1.1.002	Audits	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC = Publication or release of final audit findings.		The State Auditor's Office (SAO) retains any copies of its audits performed on Texas state agencies. See RSIN 5.4.018 and 5.4.019 for Audit Plan records.	
01.100.20		Compliance Program Records	Records related to the receipt, investigation, and resolution of a complaint alleging the violation of an individual's civil rights.	AC				AC = Retain the longer of applicable federal or state laws or regulations, TAMUS requirements, or administrative value.		Note: This applies to compliance program records not covered by another records series.	
01.100.30		Civil Rights Complaint Records-Other than Title IX Complaints	Records related to the receipt, investigation, and resolution of a complaint alleging the violation of an individual's civil rights.	AC	3			AC = Final disposition of the complaint or longer as required by state or federal law.		Note: See RSIN 15.5.010 for Title IX Complaint records and AIN 03.107.10 for employee grievance records (non-civil rights). Employee or student disciplinary records arising from the complaint should be retained in accordance with the applicable retention periods (for employees, see 03.109.10 or 03.110.10; for students, see 06.218.10). This item also does not include a complaint filed with an external enforcement agency, follow RSIN 1.1.048.	
01.100.31	15.5.010	Title IX Complaints	Title IX complaints, investigations, and determination of responsibility, including informal resolution or appeal.	AC	7			AC = Final resolution of issue and appeals.			34 CFR 106.45(b)(10).



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01.100.40	5.4.018	Annual Audit Plan	Includes working papers and agency risk assessment used to develop the plan, per Texas Internal Auditing Act requirement.	AC	7			AC = After final plan has been issued.		See RSIN 1.1.002 for individual Audit records not related to the development of the Audit Plan.	Government Code, 2102.013.
01.100.50	5.4.019	Audit Peer Review - Working Papers	Documents collected or generated as part of the process of reviewing other state agency internal audit programs. Includes but is not limited to: self-assessments, worksheets, surveys or questionnaires, evaluations, and other documents as described in the State Agency Internal Audit Forum (SAIAF) Peer Review Manual.	AC	1			AC = After final report has been issued.		See RSIN 1.1.002 for individual Audit records not related to the peer review of an Audit Plan.	Government Code, 2102.007(a)(5).
01.101.10	1.1.004	Legislative Appropriations Requests (LAR)	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC	6			AC = September 1 of odd-numbered calendar years.	I	ARCHIVES NOTE: In addition to the final version maintained in the university archives, a copy of the final version of Legislative Appropriation Requests must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(3)(A). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period.	



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01.102.10	1.1.006	Complaint and Feedback Records	Complaints and other unsolicited feedback received by an agency from the public concerning the agency and records pertaining to the resolution of complaints.	AC	2			AC = Date of receipt, action taken, or final disposition of the complaint, whichever comes last.		CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of RSIN 1.1.048. This item does not include civil rights complaint records or Title IX complaint records, see Agency Item Nos. 01.100.30, 01.100.31. Complaints of students or employees are not included in this item.	



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01.103.10	1.1.007	Correspondence - Administrative	Incoming/outgoing and internal leadership, supervisory, managerial, executive, administrative, substantive, and other high-level correspondence in any media, including electronic communication, pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.		4				O	ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the Records Officer when these records have met their retention periods. CAUTION: This records series and RSIN 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by RSIN 1.1.004; a letter concerning an audit for that prescribed by RSIN 1.1.002, etc. See also RSIN 1.1.011.	



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01.104.10	1.1.008	Correspondence - General	Non-administrative incoming/outgoing and internal correspondence, in any media, including electronic communication, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.		2					See comment to RSIN 1.1.007. See Also RSIN 1.1.010.	
01.105.10	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						
01.106.10	1.1.011	Executive Orders	Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.	US	3				I		



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01.107.10	1.1.013	Calendars, Appointments, and Itinerary Records	Calendars, appointment books or programs and scheduling, or itinerary records maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.	CE	1				O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, agency heads, and board or commission members require archival review. Contact the Records Officer when these records have met their retention periods. CAUTION: A record of this type purchased with personal funds but used by a state official or employee to document his or her work activities may be a state record and subject to the retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.	



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01.108.10	1.1.014	Legal Opinions and Advice	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV					O	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation, or opinions rendered for Public Information Act Requests. See RSIN 1.1.048, 1.1.020, and 1.1.021. ARCHIVES NOTE: Opinions and advice that set legal precedent or exhibit historical value will be evaluated by the OGC and University Archivist for archival preservation.	
01.109.10	1.1.019	Public Relations Records	News, press releases, marketing files and collateral, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.		2				O		
01.110.10	1.1.020	Public Information Requests – Not Excepted	Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code). Also includes withdrawn requests.	AC	1			AC =Date request fulfilled or withdrawn.			



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01.111.10	1.1.021	Public Information Requests - Excepted	Includes all correspondence and documentation relating to requests for records that are excepted under the Public Information Act (Chapter 552, Government Code), including records provided to the legislature under section 552.008.	AC	2			AC = Date of notification that records are excepted.			
01.112.10	1.1.023	Organization Charts	Charts or diagrams that show the structure of an agency and the relationships and relative ranks of its departments and job positions.	US					I	ARCHIVES NOTE: Only charts showing the overall arrangement and administrative structure of the state agency need to be transferred to the University Archivist. Organizational charts showing division/department level detail are not considered archival.	
01.113.10	1.1.024	Plans and Planning Records	Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are neither included in nor directly related to other records series in this schedule.	AC	3			AC = Decision made to implement or not to implement result of planning process.	O	ARCHIVES NOTE: Data processing planning records are not archival.	
01.114.10	1.1.026	Texas Register Submissions	Copies of all proposed, withdrawn, emergency, and adopted rules; open meetings notices; or any other documents required by law to be submitted to the Texas Register.	AC	1			AC = Date of publication in the Texas Register.			
01.115.10	1.1.027	Proposed Legislation	Drafts of proposed legislation and related correspondence.	AV							



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01.116.10	1.1.038	Surveys and Questionnaires	Surveys soliciting feedback from customers, clients, or stakeholders of an agency, and the statistical data maintained rating an agency's performance.	AC				AC = Final disposition of summary report, or date of decision not to produce a report, as applicable.		See RSIN 1.1.067 for summary reports compiled from customer surveys.	
01.117.10	1.1.040	Speeches, Papers, and Presentations	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	2			AC = End of event, until superseded, or obsolete.	O	ARCHIVES NOTE: Only speeches, papers, and presentations given by or on behalf of executive staff, board or commission members, division directors and program heads require archival review.	
01.118.10	11.1.006	Event Administration Records - Routine	Records created in the planning or administration of routine events, such as: reports; promotional materials; press releases and news clippings; photographs; presentation materials; schedules of speakers and activities; registration and attendance lists; participant evaluations; room reservation lists; and catering services orders.	AC	1			AC = Completion of the event.		CAUTION: Use this records series in conjunction with RRS Section 4.1 for financial records, RSIN 5.1.001a/b for written agreements or contracts, and RRS Section 5.3 for purchasing records. See RSIN 11.1.007 for records of special events.	



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01.118.20	11.1.007	Event Administration Records - University Special Events	Materials related to the planning and arrangement of informative sessions, special lecture series, lectureships, short-courses, workshops, training programs, excursions, and celebratory events for members of the institution and the communities it serves. May include but not limited to: promotional and publicity materials; press releases and news clippings; photographs; presentation materials and handouts; honoraria records; schedules of speakers and activities; registration and attendance lists; participant evaluations; and related documentation and correspondence.	AC	4			AC = Completion of the event.	O	See RSIN 11.1.006 for routine event administration records.	
01.119.10	1.1.043	Training Materials	Instructional materials and other records developed by an agency associated with training the entities or non-personnel individuals it regulates or serves, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids used in external training programs.	AC	1			AC = Close of training session, after training materials superseded, or termination of training program, as applicable.		See RSIN 3.3.030 for internal personnel training materials. CAUTION: Does not include hazardous material training records. See RSIN 5.4.007.	



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01.120.10	1.1.048	Litigation Files	Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC	1			AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	O	ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the University Archivist for archival preservation.	
01.121.10	1.1.053	Registration Logs	Logs or similar records used to register persons appearing before state agencies as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission (TEC).	AC				AC = Report filed with the Texas Ethics Commission, or date quarterly report would have been filed when the agency has no information to report.			
01.122.10	1.1.055	Strategic Plans	Operational strategic plans, which include descriptions of information resources programs. Includes working files and related documentation used in creating the final plan.	AC	6			AC = September 1 of odd-numbered calendar years.	I	ARCHIVES NOTE: In addition to the final version maintained in the university archives, a copy of the final version of Strategic Plans must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(2)(C). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period.	



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01.123.10	1.1.056	ADA (Americans with Disabilities Act) Documentation	Self-evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act.		3						28 CFR 35.105(c).
01.124.10	1.1.057	Transitory Information	Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an on-going records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. See the Explanation of Terms Section on the State RRS for examples.	AC				AC = Purpose of record has been fulfilled.		CAUTION: Records management officers should make certain records are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction signoffs (RSIN 1.2.001) or in records disposition logs (RSIN 1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (AIN 01.137.10).	



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01.125.10	1.1.058	Meetings, Agendas and Minutes of Open	Agendas and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Chapter 551, Government Code.	PM					I	ARCHIVES NOTE: Agency retains permanent record copy. The archival requirement will be met by sending a copy to the University Archivist. CAUTION: This records series and RSIN 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.	
01.126.10	1.1.059	Meetings, Certified Agendas or Audiovisual Recordings of Closed	Certified agendas or audiovisual recordings of closed meetings of state boards, commissions, committees, and councils.	AC	2			AC = The date of the meeting or completion of pending action involving the meeting, whichever is later.		See caution comment at RSIN 1.1.058.	Government Code, 551.103, 551.104(a).



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01.127.10	1.1.060	Meetings, Audiovisual Recordings of Open	Audiovisual recordings of open meetings of state boards, commissions, committees, and councils.	AC			90	AC = Approval of written minutes of the meeting by the governing body of an agency.		CAUTION: It is an exception to the AC+90 days retention that if an agency does not prepare written minutes, it must retain recordings of open meetings permanently, following the same retention requirements of RSIN 1.1.058. See also caution comment at RSIN 1.1.058.	
01.128.10	1.1.061	Meetings - Notes	Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC			90	AC = Approval of the written minutes by the governing body.		See caution comment at RSIN 1.1.058.	
01.129.10	1.1.062	Meetings - Supporting Documentation	Documents submitted at meetings of state boards, commissions, committees, and councils, including exhibit items, documentation for agenda items, public comment forms, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.		2				I	See caution comment at RSIN 1.1.058.	
01.130.10	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.		1						



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01.130.20	11.1.015	University Committee Records	Records of standing, advisory, and ad hoc committees and councils made up of members from a department, a college, a variety of units, or an office where policies and procedures are set. May include but is not limited to: agendas; meeting minutes; reports; participant notes; research; raw data; working papers; and related documentation and correspondence.		3				O	CAUTION: Federal or state regulations may require longer retention periods. The university must consider any applicable federal or state regulations in establishing a retention period for each committee's records. See RSIN 1.1.063 for Staff Meeting Minutes and Notes. See Section 17.3 for review board records related to research.	
01.130.30	11.1.003	Award Administration and History Records	Records documenting the administration, rules, and history of awards, fellowships, and scholarships based on merit or achievement. May include but not limited to: eligibility terms and selection criteria; award history and information on funding sources; award notifications; summary lists of winners, and biographies of winners.	AC				AC = Termination of award.	O	ARCHIVES NOTE: Only institutional awards merit archival review. Department-level awards recognizing employee or student achievement do not need to be reviewed for archival value. See RSIN 1.1.019 for press releases. See RSIN 11.1.004 for award selection committee records.	



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01.130.40	11.1.004	Award Selection Records	Selection committee records for institutional faculty, staff, students, and alumni considered for awards, fellowships, and scholarships based on merit or achievement. May include but not limited to: applications and supporting documents; letters of award notification, acceptance, or denial; vote tallies and ranking sheets.		2					See RSIN 3.1.037 for records of an employee receiving an award. See RSIN 11.1.003 for award administration and history records.	
01.130.50	18.3.001	Faculty and Staff Election Records	Records of elections held by various faculty and staff organizations. May include but not limited to: ballots; tabulations; and related documentation.	AC				AC = Results are verified.			
01.131.10	1.1.064	Agency Performance Measures Documentation	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE	3					See RSIN 1.1.068 for reports on agency performance measures. CAUTION: The FE + 3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.	



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01.132.10	1.1.065	Reports and Studies (Non-Fiscal) - Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV						See RSIN 1.1.067 for reports produced from raw data. CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. See RSIN 1.1.064.	
01.133.10	1.1.066	Reports – Biennial or Annual Agency (Narrative)	Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute. Includes working files and related documentation used in creating final report.	AC	6			AC = September 1st of odd-numbered calendar years.	I	ARCHIVES NOTE: In addition to the final version maintained in the university archives, a copy of the final version of these agency reports must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3. The requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Working files and related documentation used in creating the final report may be disposed of at the expiration of the retention period.	



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01.134.10	1.1.067	Reports and Studies (Non-Fiscal)	Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.		3				O	See RSIN 1.1.065 for raw data used to produce reports. ARCHIVES NOTE: Reports are archival when they deal with significant aspects of the agency's programs.	
01.135.10	1.1.068	Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC	6			AC = September 1st of odd-numbered calendar years.		See RSIN 1.1.064 for documentation used to produce reports on agency performance measures.	
01.136.10	1.1.069	Reports - Activity	Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.		1					CAUTION: If reports are used to document performance measures, see RSIN 1.1.064.	



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01.137.10		Agency Rules, Policies, and Procedures	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects. Includes working files and related documentation used in creating rules, policies, and procedures.	AC	3			AC = Until superseded, or termination of program, rules, policies, or procedures, whichever applicable.	O	Series includes records fitting to 1.1.070 and 1.2.014. ARCHIVES NOTE: Working files and related documentation used in creating the final rules, policies, and procedures, are not subject to archival requirement and may be disposed of at the expiration of the retention period.	
01.139.10	1.1.072	Public Information Reports	Reports made to the Office of Attorney General (OAG) on an agency's Public Information Act activities, per Government Code, 552.010.		2						



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01.140.10	1.1.073	Administrative Hearings	Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes.	AC	3			AC = Last action.	O	Note: This applies only to TAMUS agencies with regulatory functions. ARCHIVES NOTE: Only records that lead to substantial or statutory changes to the operations of the agency and its policies and procedures should be retained for archival review. Contact the State Archives when these records have met their retention periods. CAUTION: These records may be maintained with related information, including meeting notices, proofs of publication, and meeting minutes, and require a longer retention period.	



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01.141.10	1.1.074	Sunset Review Report and Related Documentation	Sunset Review Report, agency self-study, and other correspondence and supporting documentation related to the Sunset review process for state agencies.	AC	3			AC = After the subsequent Sunset Review.	O	This item only applies to Texas A&M Forest Service (records in this series subject to archival review on September 1, 2024). ARCHIVES NOTE: Related documentation includes the agency response to the commission's draft report and documentation of the agency's implementation of the commission's final recommendations. The final version of the agency self-evaluation report must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(1).	
01.142.10	1.1.075	Alternative Dispute Resolutions - Final Agreement	Final agreement described by Government Code, §2009.054(c), associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state agency participated as a party on the agency's behalf.	AC	4			AC = Date of final agreement.			Texas Civil Practice and Remedies Code, §154.071.



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01.142.20	1.1.076	Subpoenas	Subpoenas for production of evidence produced for litigation in which the state agency is not a party. Includes legal documents requiring recipient to appear in court to testify, or to produce records to be used in litigation.	AC				AC = Date request fulfilled.		For subpoenas related to litigation in which the state agency is a party, see RSIN 1.1.048.	
01.142.30	1.1.077	Release of Records Documentation	Records that document the release of records or information through any method other than a Public Information Act request or subpoena (including employment verification).	AC				AC = Date records released.		See RSIN 1.1.020 for records released under the Public Information Act. See RSIN 1.1.076 for records produced for a subpoena. See RSIN 1.1.048 for records produced for litigation. CAUTION: Some records releases may require longer retention period. Agencies must determine if longer retention period is required based on any federal or state statutes or regulations that apply to the agency's functions. Agency legal staff should be consulted.	
01.142.40	1.1.078	Waivers of Liability	Waivers of liability, including statements signed by volunteers acknowledging non-entitlement to benefits, agreeing to abide by state agency policies, etc.	AC	3			AC = Date of cessation of activity for which the waiver was signed.		CAUTION: If an accident occurs to any person covered by a signed waiver of liability, it must be retained for the same period as accident reports. See RSIN 5.4.001 and 5.4.014a/b.	



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01.142.50	1.1.079	Copyright Records	Copyright records which pertain to employees' original work. May include but not limited to a copy of the work itself as submitted to the United States Copyright Office and the corresponding copyright application, registration notice, and supplementary documents.	AC				AC = Expiration of copyright.	O		17 USC 302.
01.143.10	17.3.01 1	Patent and Invention Records - Patents, Licensing, and Disclosure Records	This series documents the transfer of technology from this institution to outside agencies as the result of research projects and grants carried out at the institution. May include but not limited to: original patents; international licensing agreements; and invention disclosure forms that list the names of the inventors and to whom the inventions have been disclosed.	AC	6			AC = Expiration of the patent.		CAUTION: If multiple patents are subject to the same license agreement, retain for the longer of the retention period, the termination or expiration of the license agreement, or the latest expiring patent.	
01.143.20	17.3.00 8	Intellectual Property Agreements	Includes license agreements, know-how agreements, and other contractual agreements resulting from the licensing of intellectual property or the transfer of intellectual property.	AC	7			AC = Completion of all terms and extensions of the agreement.	O	CAUTION: Does not include patent records. See RSIN 17.3.011.	NIH Guidelines, OMB Circular A: 110-.53, 2 CFR 200.334.



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01.143.30	17.3.009	Patent and Invention Records - Auxiliary Files	This series documents the transfer of technology from the institution to outside agencies as the result of research projects and grants carried out at the institution. May include but not limited to: patent applications; agreements giving permission for institutional researchers to use other patented inventions in their research; descriptions and titles of inventions; sources of funding to create the inventions; details of the provenance of the inventions and their documentation; suggested manufacturers; reports issued concerning the inventions; and signatures of inventors and technically qualified witnesses.		7				O		
01.143.40	17.3.010	Patent and Invention Records - Denied or Not Pursued	Records relating to disclosures or applications for patents that are either not filed or otherwise pursued by the university, or which are denied by the US Patent and Trademark Office (USPTO).	AC	7			AC = Date of last office action or related correspondence in file.	O	NOTE: Patent applications remain confidential unless published by the US Patent and Trademark Office or an international patent office.	
01.144.10		Organizational Memberships	Records relating to external organizational memberships of the System university or agency.	AV							



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01.145.10	13.2.005	Gift Records - Institutional	Potential or realized private, corporate, or public agency funding to the institution, including major endowments and trusts. May include but not limited to: letters and agreements of gift, copies of bequest instruments and wills from individuals or estates, and related documentation and correspondence.	PM					I	NOTE: Transfer to university archives when the records are no longer needed for the regular operations of the department of record.	
01.145.20	13.2.001	Donor Files	Includes individual donor and prospective donor files.	AC	1			AC = Prospect ceases to be viable.	I	CAUTION: Includes donor or prospective donor information only. For records of gifts, see RSINs 13.2.003 and 13.2.005.	
01.145.30	13.2.003	Gift and Fundraising Records	Records of gifts given to the agency. May include but not limited to: gift and donor lists; gift histories; gift placement arrangements; departmental endowments and trusts raised by support and "friends" groups; fundraising efforts; pledges; and background on previous donations.		7				O	See RSIN 13.2.005 for records documenting potential or realized major funding to the institution such as endowments and trusts.	
01.200.10	1.2.001	Destruction Authorizations	Documents authorizing final disposition of records under a certified records retention schedule. Records may also include destruction authorizations (e.g. form RMD 102) approved by Texas State Library and Archives Commission.		3					CAUTION: If destruction authorizations are maintained as part of RSIN 1.2.010 (Records Disposition Logs), then longer retention period applies.	



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01.201.10	1.2.003	Forms History and Maintenance	Master versions of all forms used internally and externally by the agency, including subsequent revisions to an agency form or any associated design or design modification requests.	AC	2			AC = Until superseded or use of form is discontinued.			
01.203.10	1.2.005	Records Retention Schedule	A records retention schedule (i.e. form SLR 105) that identifies the records that are created and maintained by an agency, provides the minimum timeframes the records must be retained, and includes instructions for their disposition. This series may include working files and documentation of certification and approval by the Texas State Library and Archives Commission.	US						Original is retained 50 years by the State and Local Records Management Division, Texas State Library and Archives Commission.	
01.204.10	1.2.006	Records Transmittal Forms	Forms used to track the transmittal of records to/from onsite and offsite storage areas or a transfer of physical custody.	AV							
01.206.10	1.2.010	Records Disposition Logs	Logs or similar records listing records disposed of by an agency, which might include records series title, dates of records, and date of disposition.		10					CAUTION: Disposition can mean destroyed or transferred.	



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01.207.10	1.2.012	Records Inventories	Worksheets or working papers used to capture records inventory information, including location tracking and to document existence and requirements of a records series.	US							
01.208.10	1.2.013	Records Access and Locator Aids	Documentation used to provide and improve access to records. Includes indexes, card files, shelf lists, registers, guides, and other finding aids.	AC				AC = When aid is superseded, or no longer needed because associated records have been destroyed.		CAUTION: These records must carry the same retention period and archival code of the records they support.	
01.210.10	1.2.015	Disaster Recovery Service Transmittals	Transmittals and related service documentation (e.g. form RMD 109) for disaster recovery services provided by TSLAC or other entities.	AV							
01.211.10	1.2.016	Disaster Recovery Service Approval Forms	Forms used by TSLAC (e.g. form RMD 113) or other entities to establish disaster recovery services, authorize agency staff to access the media, etc.	AC				AC = Until superseded or termination of service.			



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01.300.10	1.3.001	State Publications	One copy of each state publication as defined in the Explanation of Terms on the State RRS, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see RSIN 1.1.058) also meets the definition, but it must be retained permanently; RSIN 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003, which also meet the definition, are closely associated with the appropriations process and must be retained AC + 6.	AC	2			AC = Until superseded or obsolete.	O	CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code, 441.103-441.105). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. For additional information and requirements concerning state publications made available to the public through the internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC §§3.1-3.8).	



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01.301.10	1.3.002	Publication Development Files	Physical and digital development and design files used to create State Publications, including but not limited to background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV					O	See RSIN 1.3.001 for final State Publications created from development files. ARCHIVES NOTE: Successive and substantive drafts of major publications may be archival. Major is defined by both the publication's authorship and its impact on Texas and Texans. Original artwork, including photo prints and negatives that have significant value as evidence of agency programs as well as the potential for reuse, may be archival.	
02.101.10	2.1.002	Master Files and Application Data	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records and associated processing files. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC				AC = Until electronic records are transferred to and made usable in a new system environment, or there are no electronic records being retained to meet an approved retention period established in this schedule that require the use of the system.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency master files and application data that the files do not fall under records series listed elsewhere.	



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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
02.102.10	2.1.007	Computer Software Programs	Agency-developed automated software applications, operating system files, and associated processing files, including job control language, programs, applications, scripts, source code, etc.	AC				AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.
02.103.10	2.1.008	Computer Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, equipment control systems, and associated processing files.	AC				AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read.		CAUTION: Hardware needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.



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02.104.10	2.1.009	Hardware and Software Technical Documentation	Records adequate to specify all technical characteristics necessary for reading or processing electronic records; to document modifications to computer programs; to access, retrieve, manipulate, and interpret data in an automated system; and allow for their timely, authorized disposition. Records include, but are not limited to: user guides, system or sub-system definitions, system specifications, input and output specifications, system flow charts, program flow charts, program maintenance logs, change notices, data element dictionaries, file layouts, code books or tables, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	AC				AC = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read.		CAUTION: Hardware and software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.
02.105.10	2.1.010	Audit Trail Records	Files needed for electronic data audits. Records include, but are not limited to: reports showing transactions accepted, rejected, suspended, and/or processed; history files or tapes; records of updates to application files; and security logs.	AC				AC = All audit requirements have been met.			



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02.200.10	2.2.001	System or Computer Monitoring Records	Hardware and software components for monitoring agency's computer system resources and performance.	AV						The disposal of monitoring records that are automatically overwritten need not be documented through destruction authorizations (RSIN 1.2.001) or in records disposition logs (RSIN 1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (RSIN 1.2.014).	
02.201.10	2.2.002	Chargeback Records to Data Processing Services Users	Records documenting usage, costs, billing, cost recovery, budgeting, and administrative functions of computer usage and data processing services for individual units / departments / divisions in an agency.	FE	3						
02.203.10	2.2.010	Data Processing Policies and Procedures	Manuals, guidelines, or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.	US	3					CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. See RSIN 2.1.009.	
02.204.10	2.2.011	Data Input Documents	Forms and logs used to enter and reconcile data sets submitted for processing.	AC				AC = Data entered into applicable system and, if required, verified.			



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02.206.10	2.2.013	Quality Assurance Records	Information verifying the quality of system, hardware, or software operations. Records include but are not limited to: records of errors or failures and the loss of data resulting from such failures; documentation of abnormal termination and of error-free processing; checks of changes put into production; transaction histories; and other records needed as an audit trail to evaluate data accuracy.	AC				AC = No longer needed as an audit trail for any records modified		For quality control records related to non-IT procedures, see RSIN 5.2.018.	
02.207.10	2.2.014	Internet Browser Files	A record of web pages visited during an internet session, including data files of user-specific information created by the webserver, that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.	AV						The disposal of internet history records need not be documented through destruction authorizations (RSIN 1.2.001) or in records disposition logs (RSIN 1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (RSIN 1.2.014).	
02.209.10	2.2.016	Software Registrations, Warranties, and Licensee Agreements	Records documenting the registration and licensing of a software application to activate the software for legal use by the end users of a state agency, along with warranties providing that the software will perform in accordance with functional specifications.	LA	3						



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02.210.10	2.2.017	Help Desk Tickets	Records documenting the request for and response to help desk tickets received by divisions or units, such as information technology.	AV							
02.211.10	2.2.018	Biennial Information Security Plan	Biennial information security plan for protecting the security of the agency's information.	US							1 TAC 202.23; 1 TAC 202.73.
03.100.10	3.1.001	Applications for Employment - Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC	2			AC = Date of the making of the record or the personnel action involved, whichever occurs later.		CAUTION: Does not include ADA Accommodation Requests. See RSIN 3.1.042.	29 CFR § 1602.31 [State Agencies]. 29 CFR § 1602.49(a) [State Universities].
03.101.10	3.1.002	Applications for Employment - Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC	5			AC = Termination of Employment			
03.102.10	3.1.006	Employee Counseling Records	Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisory level except in those agencies with counseling staff.	AC	3			AC = Termination of counseling.		See AIN 03.102.20 when records are required to be kept by a licensed psychologist as required by 22 Tex. Admin. Code § 465.22(d)(2).	



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03.102.20	3.1.006	Employee Counseling Records-Licensed Psychologist	All records that can be used to document the delivery, progress or results of any psychological services to an employee including, but not limited to, data identifying a recipient of services, dates of services, types of services, informed consents, fees and fee schedules, assessments, treatment plans, consultations, session notes, reports, release forms obtained from a client or patient or any other individual or entity, and records concerning a patient or client obtained by the licensee from other sources.	AC	7			AC = Termination of counseling.		See AIN 03.102.10 when records are not required to be kept by a licensed psychologist as required by 22 Tex. Admin. Code § 465(d)(2).	22 Tex. Admin. Code § 465.22(d)(2).
03.103.10	3.1.011	Employee Benefits	Agency copies of information relating to the selection by employees of life, disability, health, vision, dental, and other types of insurance or benefits offered by the State of Texas to its employees.	AC				AC = Until superseded or termination of employment.		CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for RSIN 3.2.001.	
03.104.10	3.1.012	Employment Opportunity Announcements	Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.		2						29 CFR § 1602.31 (State Agencies) . 29 CFR § 1602.49(a) (State Universities).



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03.105.10	3.1.013 a	Employment Contracts – 9/1/2015 and After	Includes a contract or agreement regarding the terms and conditions of employment of an individual and a contract with a vendor for temporary staffing services. Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the contract according to its terms.			Government Code, 441.1855.
03.105.20	3.1.013 b	Employment Contracts – 8/31/2015 and Prior	Includes a contract or agreement regarding the terms and conditions of employment of an individual and a contract with a vendor for temporary staffing services. Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the contract according to its terms.		NOTE: Refer to SB20 (84th Leg.) for retention period context.	Tex. Gov't Code, 441.1855.
03.106.10	3.1.014	Employment Selection Records	Includes notes of interviews with candidates; questions asked of applicants; audio and videotapes of job interviews; driving record and previous injury checks; pre-employment physical examinations; and all other records that document the selection process, except for those noted in Remarks.	AC	2			AC = Date of the making of the record or the personnel action involved, whichever occurs later.		CAUTION: Does not include criminal history checks; see RSIN 3.1.026. Does not include drug screening test results; see RSIN 3.1.040a/b/c. Does not include pre-employments skills tests; see RSIN 3.3.027 and 3.3.028. Does not include pre-employment polygraph examinations; see RSIN 3.1.043.	29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities].
03.107.10	3.1.018	Grievance Records	Records relating to the review of employee grievances or complaints against personnel policies, working conditions, etc.	AC	2			AC = Final Decision on the grievance.		CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U. S. Department of Labor (DOL). See RSIN 1.1.048.	



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03.108.10	3.1.019	Performance Appraisals	Job evaluations, performance appraisals, or other similar documents used to evaluate the performance of an employee.		2					See RSIN 12.1.001 for Faculty tenure records.	29 CFR 1620.32(c).
03.108.20	12.1.001	Faculty Tenure Records	Evaluations, recommendations, and similar documentation relating to the review process for tenure for all faculty or staff in the tenure track.	AC	2			AC = Date of the making of the record or the personnel action involved, whichever occurs later.	O	CAUTION: Retention period should be longer if a university's tenure review cycle requires it. For employment performance and appraisal records, see RSIN 3.1.019.	29 CFR 1602.49.
03.109.10	3.1.020	Personnel Corrective Action Documentation	Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	AC	5			AC = Termination of corrective action.		CAUTION: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under RSIN 3.1.021, all documentation from this series used to support disciplinary action must be retained for the minimum retention period described by RSIN 3.1.021.	



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03.110.10	3.1.021	Personnel Disciplinary Action Documentation	Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force; and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC	5			AC = Termination of Employment			
03.111.10	3.1.022	Personnel Information or Action Forms	Forms or similar records used to create or change information concerning the records of an employee, including pay grade, position classification, employee number, evaluation date, and termination of employment.		2						29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities].
03.112.10	3.1.023	Position/Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	4			AC = Until superseded or job eliminated.			40 TAC 815.106(i).



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03.114.10	3.1.024	Physical Examinations/ Medical Reports	Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.	AC	2			AC = Until superseded or termination of employment.		CAUTION: Does not include pre-employment physical examinations. See RSIN 3.1.014. Does not include medical or physical examinations for employees exposed to hazardous materials. See RSIN 5.4.016a/b.	
03.115.10	3.1.026	Criminal History Checks	Criminal history record information obtained on employees and applicants for employment as authorized by state and federal law.	AC				AC = The criminal history record has served the immediate purpose for which is 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.	
03.116.10	3.1.027	Training and Educational Achievement Records (Individual)	Certificates of completion, certifications, licenses, transcripts, test scores, or similar records documenting the training, testing, certification, licensing, or continuing education achievements of an employee.	AC	5			AC = Termination of employment.			
03.117.10	3.1.029	Employment Eligibility Documentation	Federal reporting form (Form I-9).	AC				AC = 3 years after date of hire or 1 year after termination of employment, whichever is later.			8 CFR § 274a.2 (b)(2)(i)(A) and (c)(2).



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03.119.10	3.1.034	Resumes - Unsolicited	Retention period applies if an agency replies to the sender of a resume that it will be kept on file should future job openings occur.	AV						See RSIN 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.	
03.121.10	3.1.036	Apprenticeship Records	Summary of apprenticeship applicant qualifications, evaluation basis for selection or rejection, original applications, job assignments, promotions, separations, layoffs, terminations, compensation records, conditions of work, time records, hours of training provided (separate from labor), minority status, and gender of all selected and rejected applicants.		5						29 CFR § 30.8(e).
03.122.10	3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc.	AC	5			AC = Termination of employment.			
03.123.10	3.1.038	Public Access Option Records	Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code 552.024.	US						CAUTION: Most recent public access election information must be kept as long as the former employee verification records. See RSIN 3.3.011.	



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06.035.10	17.1.01 8	Student Faculty/Course Evaluation Records - Non-Tenure Track Faculty	Student evaluations of non-tenure track teaching personnel, which provide students' opinions on faculty members' familiarity with current literature of the discipline, preparation, assignments, examinations, lecture styles, willingness to engage in dialogue, and availability. May include but not limited to: bubble forms (input documents); course reaction inventory printouts; statistical tabulations; and summary reports.	AC	3			AC = After course is completed.		Formerly AIN 01.405.10 See RSIN 3.1.019 for employee performance appraisals.	
06.035.20	17.1.01 9	Student Faculty/Course Evaluation Records - Tenure Track Faculty	Student evaluations of tenure-track teaching personnel used to help determine faculty tenure, promotion, merit increases, and/or to review instructional courses and programs. These records provide students' opinions on faculty members' familiarity with current literature of the discipline, preparation, assignments, examinations, lecture styles, willingness to engage in dialogue, and availability. May include but not limited to: bubble forms (input documents); course reaction inventory printouts; statistical tabulations; and summary reports.		7					CAUTION: Retention period should be longer if a university's tenure review cycle is longer than 7 years. See RSIN 3.1.019 for employee performance appraisals.	



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06.040.10	15.2.01 1	Faculty Grade Book	Faculty grade books showing students' performance in the course and work completed. Includes grade sheets and other materials that permit a reconstruction of a student's graded performance in a course.	AC				AC = Expiration of grade appeal period.		Formerly 01.406.10 See RSIN 15.2.012 for official Registrar copies of grades.	
06.050.10	15.1.00 6	Standardized Test Administration Records	Records of the services rendered to clients for standardized tests and admissions exams for partner organizations, such as SAT, ACT, GRE, MCAT, PCAT, GMAT, NTE, VCAT, and TOEFL. May include but not limited to: testing rules and regulations; rosters of test takers; seating charts; and supervisors' reports.	AC	1			AC = End of testing period.		CAUTION: Testing centers must retain records of testing according to the procedures and requirements established by the contracting organization. CAUTION: This series does not include test scores. See RSIN 4.1.009 for testing payment vouchers.	
06.060.10	15.1.00 7	Residency Affidavits and Documentation	Affidavits and declarations filed by students regarding state residence status which is critical for determining tuition status.	AC	3			AC = Graduation, or date of last attendance.		See RSIN 15.1.002 for residency classification forms submitted by applicants who did not enroll.	Texas Education Code, 54.052.



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					Years	Months	Days				
06.100.10	15.1.00 2	Admissions Records - Not Enrolled/Denied	Denied applications or applications that were approved but applicant did not enroll in institution or program (includes international applicants). May include but not limited to: acceptance letters; applications for admission; entrance exam reports; letters of recommendation; health history forms; readmission forms; recruitment materials; test scores; residency classification forms; transcripts from other colleges; and transcripts from high school.	AC	1			AC = End of application term.		CAUTION: International student academic records must be retained at least 1 year after final notice to USCIS.	
06.100.20	15.1.00 1	Admissions Records - Enrolled/Accepted	Applications and supplemental materials submitted by individuals, including international students, seeking admission and enrolling in the institution or a university program. May include but not limited to: acceptance letters; applications for admission; entrance exam reports; letters of recommendation; health history forms; readmission forms; recruitment materials; test scores; residency classification forms; transcripts from other colleges; and transcripts from high school.	AC	3			AC = Graduation, date of last attendance, or separation from program, as applicable.		CAUTION: International student academic records must be retained at least 1 year after final notice to USCIS.	8 CFR 214.3(g).



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					Years	Months	Days				
06.102.10	15.5.005	Recruitment Records	Recruitment of students based upon disadvantaged status, academic performance, and other criteria. May include but not limited to: interview notes; conversation notes; personal information forms and resumes; test scores; photographs; and academic transcripts.	AC	1			AC = End of application term.		CAUTION: Does not include records of recruitment of athletes into the institution's intercollegiate athletics program. See RSIN 18.2.018. See RSIN 16.5.010 for external recruiting records.	
06.114.10	15.2.009	Departmental Student Information Files	Up-to-date departmental information on student's activity from point of enrollment to graduation or date of last attendance. May include but not limited to: personal data, graduate student qualifying examinations, placement tests, partial transcripts, and evidence of graduation or last date of attendance.	AC	3			AC = Student separation from the department or institution.		CAUTION: International student academic records must be retained at least 1 year after final notice to USCIS. See RSIN 15.2.026 for student advising records. See RSIN 15.5.007 for disciplinary action records.	
06.200.10	15.2.012	Original Grade Sheets and Grade Changes	Permanent record cards, grade cards, grade sheets, and grade change forms serving as the basis for students' official academic records. Grade sheets may include student names and social security numbers or ID numbers; course titles and numbers; sections; grades awarded; and instructors' signatures.	PM						CAUTION: This retention period applies to records of the Registrar. See RSIN 15.2.011 for departmental copies of grade sheets.	
06.201.10	15.2.001	Academic Action Authorizations	Authorizations for academic actions, such as academic probation, suspensions, dismissals, reinstatements, etc.	AC	3			AC = Graduation or date of last attendance.		See RSIN 15.5.007 for disciplinary action records.	



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06.202.10	15.2.00 2	Advanced Placement and Credit Records - Awarded	Transfer credit evaluations, national or state standardized test scores and reports (e.g., CLEP, AP, Departmental, IB, SAT II, DSST), credit by examination authorizations and reports, military course documentation (e.g., USAFI) and evaluations, non-traditional transcripts and credentials, life experience records, requests for advanced credit, and similar documentation used by a university to evaluate and determine award of credit by advanced placement.	AC	3			AC = Graduation or date of last attendance.			
06.202.20	15.2.00 3	Advanced Placement and Credit Records - Not Awarded	Denied requests for transfer credits and/or advanced placement.	AC	1			AC = End of academic year in which decision made.			
06.203.10	15.2.01 4	Graduation and Diploma Administration	Student applications for graduation, degree audit forms, graduation authorizations, and diploma distribution records.	AC	1			AC = Graduation or date of last attendance.			
06.204.10	1.1.077	Duplicate Diploma Requests		AC	1			AC = Date submitted.		TAMUS retention period meets or exceeds TSLAC's minimum retention period.	



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06.207.10	15.2.00 7	Course Registration and Status Records	Registration forms, class rosters, class schedules, and similar records providing information on which courses students are registered for at the beginning of an academic term, including documentation evidencing the conditions under which courses are undertaken (e.g., audit, pass/fail, and credit/no credit authorizations or approvals) or evidencing changes to registration status during the term (e.g., add/drop forms and withdrawal authorizations by student or instructor).	AV							
06.209.20	15.5.00 3	Class Lists	Official record of students enrolled in courses taught, used to cross-check students who have enrolled against those who have registered as well as in the generation of statistical reports.	AC				AC = When the list of students who have enrolled has been cross-checked with the list of students who have registered.		CAUTION: Class lists often have long-term value in the generation of statistical and other reports. They should be reviewed before disposal, as some of these records may merit long-term or permanent retention.	
06.215.10	15.2.00 8	Curriculum Change Authorizations	Student requests to change their field of major study, add or remove a simultaneous major, or add or change a minor.	AV							



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06.218.10	15.5.007	Student Conduct/Disciplinary Action Records	Academic dishonesty and conduct violations among students. May include but not limited to: incidents reports; final reports; evidence; notification of allegation; disciplinary reports; informal discussion notes; formal hearing notes; final summary statements; decision statements; and appeals documentation.	AC	5			AC = Graduation or date of last attendance.		CAUTION: For Title IX complaints, see RSIN 15.5.010.	
06.218.20	15.5.008	Student Grievance Records	Grievances brought forward by students against the institutions which do not result in litigation. Grievances may pertain to academic issues; housing; affirmative action and equal opportunity; student conduct; and other issues. May include but not limited to: notices of grievance; informal discussion notes; grievance responses; formal hearing notes (including audio tapes); final summary statements; settlement agreements; and appeals documentation.	AC	5			AC = Graduation or date of last attendance.		CAUTION: If a grievance brought forward by students against the institution becomes part of litigation, it should be retained as a litigation record per RSIN 1.1.048. If the grievance goes to the university ombudsman, the record should be retained as an ombudsman record per RSIN 3.1.039. CAUTION: For Title IX complaints, see RSIN 15.5.010.	
06.219.10	4.1.001	Fee Assessment Forms	Records related to any fees assessed to a specific student.	AC	5			AC = Graduation or date of last attendance.			
06.220.10	1.1.002	Financial Aid Audit Documents		AC	7			AC = After annual audit accepted by Department of Education + 3 years or Publication or release of final audit + 7 years, whichever later.			



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06.223.20		Graduation Lists	Lists of students graduating each semester from each academic program.	PM					I	Master microfilm copy stored in archives.	
06.225.10	15.2.019	Holds and Encumbrances	Documents used to place and remove holds on registration, student services, or the release of transcripts or other academic data until the subject of the hold/encumbrance takes a specific action.	AC				AC = Date of release.			
06.227.10	15.2.023	Personal Data and Name Change Records	Student or applicant name changes, change of address forms, race/ethnicity questionnaires, and similar source documentation used to update personal data information on transcripts or other student records.	AV							
06.230.10	16.5.002	Career Counseling and Placement Records	Records used to assist students in planning career goals and connecting with prospective employers. May include but not limited to: career goals; academic credentials; personal data; work experience; honors; distinctions; and consent forms for release of information.	AC	5			AC = Graduation or date of last attendance.			
06.232.10	1.1.077	Transcript Requests	Records related to a request for the institution's release of a student or former student transcript.	AC				AC = Date submitted + 1 year, or Released, whichever longer.			



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06.232.20	15.2.03 2	Transcripts	Transcript, or a record equivalent in function, of the academic achievement of each enrolled student, documenting courses taken, credits granted, grades received, and any degrees or certifications awarded (including any narrative assessments or evaluations prepared in lieu of an assigned grade).	PM							
06.234.10	15.3.02 7	Tuition Exemption and Remission Records	Applications for and supporting documentation evidencing the grant of tuition exemptions or remissions. May include but not limited to: authorizations; reconciled lists; and account summaries.	AC	3			AC = End of award year.		See RSIN 15.2.017 for Hazlewood Act records.	
06.234.20	15.3.02 8	Tuition Rebate Documentation	Tuition rebate forms and any supporting documentation pertaining to a college tuition rebate program.	AC	5			AC = Graduation or date of last attendance.			Texas Education Code Sec. 54.0065.
06.235.10	15.2.03 5	Withdrawal Forms and Authorizations	Requests and authorizations for a student to withdraw from classes after calendar deadlines without academic penalty for reasons acceptable to a university such as health or family issues.	AV							



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06.236.10	17.1.007	Cooperative Program Records	Records documenting the institution's participation in cooperative and shared educational or research programs. Such programs may share research facilities and resources or instructional programs such as programs permitting student matriculation at member institutions. May include but not limited to: information on requirements and application procedures; committee minutes; meeting agendas; and memos of interpretation and understanding.	AC	7			AC = Termination of program or agreement.	O		
06.236.20	17.1.006	Continuing Education Course Records	For credit and not-for-credit course offerings and individual course contents as offered by Continuing Education (i.e., "extension" classes).	AC	2			AC = End of semester in which course is taught.		CAUTION: Some of these records may affect accreditation and should be kept long enough to meet accreditation cycle requirement. See RSIN 16.1.007 for medical continuing education records.	
06.300.10	15.2.010	Enrollment Census Reports (4th and 12th Class Day Rosters)	Attendance reports prepared by faculty on class census day and used as source documentation for enrollment reports submitted to the Texas Higher Education Coordinating Board (THECB).	FE	3						



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06.303.10	15.3.02 3	Financial Aid Programs	Documentation of the university's participation in financial aid programs, such as program participation agreements and required reports.	AC	3			AC = End of award year in which all reporting is finalized.			34 CFR 668.24(e)(1)(i), 34 CFR 674.19(e)(3)(i), 34 CFR 675.19(b)(1), 34 CFR 676.19(b), 34 CFR 690.82(a), 45 CFR 74.53(b)
06.303.20	15.3.00 2	Financial Aid Application, Award, and Disbursement Records - All Federal, State, Local, and Institutional Grants, Scholarships, and Work-Study Programs	Approved student applications and disbursement records for all local, state, federal, or institutional grants, scholarships, and work-study programs not covered elsewhere in schedule. May include but not limited to: financial aid need analysis and eligibility forms; financial aid transcripts; copies of documents submitted by students or parents for verification of student aid application information; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors; work-study certifications and time reports; documentation of entrance and exit interviews; and correspondence. Includes Federal Work-Study (FWS), Federal Supplemental Educational Opportunity Grant (FSEOG), and Pell Grant records.	AC	3			AC = End of the award period, or submission of annual report for the award year, whichever later.		See RSIN 15.3.010 for veterans' assistance programs.	34 CFR 668.24(e), 34 CFR 675.19(b)(1), 34 CFR 676.19(b), 34 CFR 690.82(a).



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					Years	Months	Days				
06.303.25	15.3.00 3	Financial Aid Application and Award Records - All Federal, State, Local, and Institutional Loan Programs	Financial aid applications for federal, state, local, or institutional loans not included elsewhere in schedule, including Income Contingent Loans (ICL), Perkins Loans, Federal Family Education Program Loans (Stafford Loans, Unsubsidized Stafford Loans, Federal PLUS Loans, and Federal Consolidation Loans) and Direct Loans (Direct Unsubsidized Loans, Direct PLUS Loans, and Direct Consolidation Loans). May include but not limited to: approved student applications; Student Aid Report (SAR) or institutional Student Information Record (ISIR) used to determine eligibility for Title IV, HEA program funds; documentation of each student's or parent borrower's eligibility; loan counseling; and data verification forms and reports.	AC	3			AC = End of the award period, or submission of annual report for the award year, whichever later.		See RSIN 15.3.005 for Health Profession and Nursing Student Loan program applications.	34 CFR 668.24(e), 34 CFR 674.19(e)(3), 34 CFR 682.610(a)(2).
06.303.30	15.3.00 5	Financial Aid Application and Award Records - Health Profession and Nursing Student Loan Programs	Approved student applications; documentation of financial aid; financial aid transcript; student's name, address, academic standing, and period of attendance; and loan and tuition details.	AC	5			AC = Termination of enrollment.		CAUTION: May include obsolete Health Education Assistance Loans (HEAL).	42 CFR 57.215(b), 42 CFR 57.315(a)(2), 42 CFR 60.56(b).
06.303.35	15.3.00 7	Financial Aid Application and Award Records - Non-Awarded	Denied applications for financial aid.	AC	1			AC = End of academic period for which aid denied.			



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					Years	Months	Days				
06.303.40	15.3.010	Financial Aid Application, Award, and Disbursement Records - Veterans Administration Education Assistance Allowances	Approved student applications and disbursement records for Veterans Administration (VA) benefits. May include but not limited to: financial aid need analysis and eligibility forms; financial aid transcripts; copies of documents submitted by students for verification of student aid application information; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors; and documentation of entrance and exit interviews.	AC	3			AC = Termination of enrollment.			38 CFR 21.4209(f).



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					Years	Months	Days				
06.303.45	15.3.01 1	Financial Aid Disbursement and Repayment Records - All Federal, State, Local, and Institutional Loan Programs	Disbursement and repayment records for loans not included elsewhere in schedule, including Income Contingent Loans (ICL), Perkins Loans, Federal Family Education Program Loans (Stafford Loans, Unsubsidized Stafford Loans, Federal PLUS Loans, and Federal Consolidation Loans) and Direct Loans (Direct Unsubsidized Loans, Direct PLUS Loans, and Direct Consolidation Loans). May include but not limited to: receipts; account cards documenting amount of loan, payment period, and loan period; calculations used to determine amount awarded; date and amount of each disbursement; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; amount, date, and basis of institution's calculation of any refunds or overpayments due if student withdraws; overpayments; documentation of entrance and exit interviews; records of contacts concerning overdue loans; and correspondence between the university and the borrower, collection agencies, and	AC	3			AC = Date of final repayment or cancellation.		See RSIN 15.3.018 for Health Profession and Nursing Student Loan program payments. See RSIN 15.3.026 for Perkins Original Promissory Notes.	34 CFR 668.24(e), 34 CFR 674.19(e)(3), 34 CFR 682.610(a)(2).



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06.303.50	15.3.018	Financial Aid Disbursement and Repayment Records - Health Profession and Nursing Student Loan Programs	Disbursement and repayment records for Health Profession and Nursing Student loans. May include but not limited to: documentation of amount and date of each loan, payment dates, deferment documentation, and correspondence related to overdue and uncollectible loans.	AC	5			AC = Date of retirement of loan.		CAUTION: May include obsolete Health Education Assistance Loans (HEAL).	42 CFR 57.215(c), 42 CFR 57.315(a)(3).
06.303.55	15.3.026	Perkins Original Promissory Notes	Promissory notes for student loans negotiated for the current academic year.	AC				AC = Until loan is satisfied, or documents are needed to enforce obligation.		CAUTION: If original promissory notes are electronically signed, the signed master promissory note (MPN) must be kept 3 years after all the loans made on the MPN are satisfied.	34 CFR 674.19(e)(4).
06.306.10	15.2.033	Veterans Affairs Records	Certification of Enrollment reports required by the U.S. Department of Veterans Affairs (VA) and individual veteran student records that certify to the VA that the student is eligible for educational benefits, is currently enrolled at the institution in a qualifying curriculum and is maintaining standards required to receive entitlements.	AC	3			AC = Graduation, date of last attendance, or end of certification period, as applicable.		See RSIN 15.2.017 for Hazlewood Act documentation.	38 CFR 21.4209(f), US Department of Veterans Affairs School Certifying Official Handbook.
06.307.10	15.2.017	Hazlewood Act Documentation	Applications and student eligibility determinations to claim the Hazlewood exemption and institutional records to track benefit hours claimed.	AC	3			AC = Last date of attendance, or date application denied, as applicable.		See RSIN 15.2.033 for Veterans Affairs Records.	40 TAC 461.130.



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06.308.10	15.2.020	Independent Study Records	Departmental approval for students to enroll in independent study courses. May include but not limited to: permission sheets with students' names; course names; number of credits; and faculty signatures.	AC	2			AC = Student separation from the department or institution.			
06.309.10	15.2.021	Internship Applications - Not Enrolled/Denied	Applications for internship programs for which student was denied or did not enroll.	AC	1			AC = End of academic term in which internship occurred.		See RSIN 15.2.022 for other internship program records.	
06.310.10	15.2.022	Internship Program Records	Administration of student internship, practicum, and cooperative education programs. May include but not limited to: applications for internships inside and external to the institution; agreements with departments; postings/notices; student resumes; and proposed institution listings.	AC	3			AC = End of academic term in which internship occurred.		See RSIN 15.2.021 for internship applications for which student was denied or did not enroll.	
06.400.10		Catalogs	Final published university catalogs describing undergraduate or graduate and professional academic programs and related information such as admissions, course offerings, and academic regulations and requirements.	PM							
06.400.20	17.1.002	Class Scheduling Records - Published Schedule of Classes	Final published schedule of classes.	PM					O		



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06.400.30	17.1.003	Class Scheduling Records - Working Files	Formulation of class schedules by academic departments for inclusion in the published schedule of classes. May include but not limited to: requests from departments for class offerings; deviation from schedule forms; copies of course schedule maintenance forms; requests for class changes; and working papers.		1						
06.401.20	17.1.004	Commencement Records	Commencement program planning and implementation at the institution. May include but not limited to: commencement attendance forms; and planning records created by commencement committees or other planning groups.	AC	4			AC = After commencement events.	O		
06.407.10	15.2.030	Thesis and Dissertation Records	Final accepted copies of theses and dissertations presented to colleges in fulfillment of requirements for graduate degrees.	PM					I		
06.500.10	15.4.005	Record Amendment Requests	Requests from students to amend student records, notices by an institution of denial or consent to amendments, requests for hearings on denied requests, hearing notices, and written decisions by hearing examiners.		2						



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06.501.10	15.4.00 3	Disclosures	Record of each request for access to and each disclosure of personally identifiable information from the educational records of a student under the Family Educational Rights and Privacy Act (FERPA): documentation of requests from and disclosures to any party other than the student, an official of the university for what the university has determined are legitimate educational interests, a party with or without written consent from the student, or a party seeking directory information.	AC				AC = As long as disclosed record is maintained.		See RSIN 1.1.077 for release of non-FERPA records.	34 CFR 99.32(a)(2).
06.502.10	15.4.00 6	Student Nondisclosure Requests	Student request to opt out of directory information disclosure.	AC				AC = Until termination of nondisclosure request.			34 CFR 99.37(b).
06.503.10	15.4.00 4	Protest of Record Statements	Statements by students commenting on contested information in a student record stating why he or she disagrees with a university's decision not to amend a record, or both.	AC				AC = Final disposition of record containing the contested information.			34 CFR 99.21(c)(1).
06.504.10	15.4.00 7	Written Consents	Written consents and waivers for information disclosure from the eligible student or student's parents.	AC				AC = Until termination of waiver.			
06.505.10	15.4.00 2	Access Waiver Records	Waivers completed by students to allow or revoke access to confidential letters and confidential statements of recommendation.	AC				AC = Final disposition of record to which waiver applies.			



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06.600.10	15.2.02 6	Student Advising Records	Academic advising records, including advisors' notes, advising checklists, and unofficial or partial copies of grade reports.	AC	3			AC = Student separation from the department or institution.		See RSIN 18.2.005 for student athlete reporting requirements.	
06.601.10	11.1.00 2	Alumni Records	Alumni affair records. May include but not limited to: lists of alumni club members, degree recipients, or class officers, minutes, by-laws and directories of clubs, promotional materials concerning annual gatherings, homecoming, and alumni services.	AV					I	See RSIN 5.1.004 for alumni mailing list.	
06.602.10	16.2.00 1	Circulation Records	Records documenting the borrowing of circulating library materials or equipment by qualified patrons (including courtesy and guest borrowers). May include but not limited to: the name and identification of the borrower; material due dates; and overdue item notations.	AC				AC = Transaction is completed.		See RSIN 4.1.009 for fines. The disposal of circulation records need not be documented through destruction authorizations (RSIN 1.2.001), or in records disposition logs (RSIN 1.2.010).	
6.602.15	16.2.00 2	Archives Collection Control Records	Collection control records documenting accessioning, cataloging, preserving, and referencing. May include but not limited to: deeds of gift; appraisal reports (monetary or non-monetary); accession sheets and reports; archives transmittal lists; deaccessioning recommendations; and loss of archival materials.	PM						See RSIN 1.2.013 for archival finding aids.	



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06.602.20	16.2.003	Collection or Artifact Loan Records	Artifact and material loans contracted between units of the institution or between the institution and either other institutions or individuals. May include but not limited to: signed and legally binding agreements for incoming and outgoing loans between the collection administrators; receipts for loans and return of materials to the legal holder; and related forms, documentation, and correspondence.	AC	7			AC = Expiration or termination of the loan agreement according to its terms.		Upon the expiration of the retention period, repositories should consider transferring loan records to RSIN 16.2.002 if they possess continuing reference or administrative value.	
06.602.25	16.2.006	Exhibit Records	Exhibit records documenting the display and use of artifacts and materials. May include but not limited to: artifact labels or placards; photographs of exhibits; exhibit renderings; and exhibit assembly and presentation instructions.	AC				AC = Conclusion of exhibit.	O	ARCHIVES NOTE: For museums, archival review and selection may be performed by museum curatorial staff. Materials pertaining to major exhibits may possess long-term historical value and may be retained either in the institutional archives or the museum unit, as appropriate.	
06.602.30	16.2.007	Interlibrary Loan (ILL) Records	Interlibrary loan requests fulfilled by the university library system for materials from outside institutions for materials requested from outside library systems.	AC				AC = Transaction is completed.		See RSIN 4.1.001 for accounts payable records.	

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06.602.50	16.2.01 1	Permission History Files	Records of the repository granting/denying permission to reproduce images of items in the collection. Includes permission forms and correspondence requesting permission to publish images from archival collections.	AV							
06.602.55	16.2.01 2	Reference Request Records	This series documents requests for information about, or access to, items within the institution's collections. May include but is not limited to: reference request forms; disposition of or time spent fulfilling the requests; call slips (also called pull slips); and related documentation and correspondence.	AV						See RSIN 1.1.064 for performance measures documentation. See RSIN 1.1.069 for activity reports.	



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06.603.10	18.1.003	Student Organization Administrative Records	Records documenting the history, development, and policies of campus student organizations. This series may include but is not limited to: constitutions and bylaws; publications (websites, newsletters, fliers, brochures, posters, and other publications); annual review forms; annual reports; meeting minutes and supporting documentation; committee, subcommittee, and task-force records; Student Senate bill and resolution files; budgets; handbooks; officer and member rosters; scrapbooks; photographs; press releases; clippings; social media accounts; and related documentation and correspondence that documents programs, activities, and events.	AV					O		



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06.604.10	18.2.005	NCAA and NAIA Reporting Requirements	Records required to be produced and reported to the National Collegiate Athletic Association (NCAA) and National Association of Intercollegiate Athletics (NAIA). May include but not limited to: documentation of admissions, financial aid, eligibility, academic performance, graduation success, assessments, insurance certifications, recruiting activities, training and practice schedules, game day totals and ticket sales, student athlete accommodations, drug testing consent forms, student athlete statements, injury and medical surveillance, reporting on individual athletes, and compliance with rules.		6					See RSIN 18.2.014 for individual athlete files.	
06.604.20	18.2.007	Student Athlete Drug Test Records - Negative Results	Negative results of drug testing done on student athletes, such as lab reports and interpretations.		1						
06.604.30	18.2.008	Student Athlete Drug Test Records - Positive Results	Positive results of drug testing done on student athletes, such as lab reports and interpretations.	AC	5			AC = End of eligibility.			



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06.604.40	18.2.01 1	Game Officials' Evaluation Forms	Head coach's evaluation of judging officials' performance at games. The series is also used to comply with NCAA, NAIA, and conference rules and regulations. Information on the individual forms includes: team names; site; game date; judging officials' names; evaluative scores; comments; and coach's signature.		1						
06.604.50	18.2.01 2	Game Records	Records documenting each game and the season for each sport by playing year. May include but not limited to: individual and seasonal game statistics; player statistics; attendance figures; player training charts; game schedules; game arrangements; special teams statistics; rankings; awards information; NAIA and NCAA game statistics; all-conference nominations; spring and fall camp depth charts; numerical rosters; narrative reports on games and scrimmages; final team statistics for each game; NAIA and NCAA official scoring summaries; play-by-play written reports.	AV					O	ARCHIVES NOTE: Certain game records, including statistics, may possess long-term historical value and may warrant permanent retention by the institutional archives.	



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06.604.60	18.2.01 4	Individual Athletes Records	Athletic history of each athlete who has competed at the institution. Frequently, this series is a continuation of the recruitment file and includes recruitment records if an athlete signs a letter of intent. May include but not limited to: academic major information, including performance reports, admissions verification reports, academic transcripts, financial aid information, recruitment information documents, medical and injury reports, media articles, photographs, release of information forms, personal data questionnaires, and records of awards.	AC	5			AC = Date of separation from the institution.	O	ARCHIVES NOTE: Only public profile records are subject to archival review. Confidential information should be removed or redacted upon archival transfer.	
06.604.70	18.2.01 6	Playbooks	Strategies and game plays for each game in the season.		5						



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06.604.80	18.2.018	Recruiting Records - Athletics	Recruitment of athletes into the institution's intercollegiate athletics program. The series also provides a record of the recruitment process for prospective players created by the institution to comply with NCAA, NAIA and conference rules and regulations. This series may include but is not limited to: the institution's football questionnaire forms with personal, scholastic, football, general, and transcript release information; information request cover sheets; grade transcripts; Information for Certification of NCAA Freshman Athletics Eligibility Compliance; letters of intent; copies of admissions forms and materials; and ongoing performance and eligibility reports.	AC	5			AC = End of eligibility.			
06.604.90	18.2.019	Sports Merchandising Records	Administration of the sale of institutional and NCAA or NAIA-licensed merchandise at sporting events. May include but not limited to: sales reports; merchandise comment sheets; branding and promotion campaigns; and related correspondence. Merchandising working files.	FE	3					See RSIN 4.1.009 for accounts receivable records.	



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06.607.10	15.2.02 7	Student Certification Records - Academic	Student completion of certificate programs offered by university academic programs.	AC	5			AC = Date of last attendance.		CAUTION: Transcript notes regarding academic certifications awarded are maintained permanently by the Registrar. See RSIN 15.2.028 for professional certification records (e.g., teacher certification records).	
06.608.10	15.2.02 8	Student Certification Records - Professional	Certification records for licenses or certificates to enter a profession (e.g., teaching certificates). May include but not limited to; applications for admission to a program; registration for practicum hours and evidence of the completion of the practicum; transcripts; narrative evaluations on practicum; notice of completion of hours required for certification; and recommendations and evaluations.	AC	1			AC = End of certification period.		CAUTION: Accrediting agencies may require longer retention periods for professional certification records. Refer to accrediting agency to determine the term of the certification period. See RSIN 15.2.027 for academic certifications.	



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06.609.10	15.5.00 1	Academic Standing Reports	Reports on student academic standing, including academic deficiency and the status changes of academically deficient students. May include but not limited to: reports containing student names; grade point averages (GPA's); grade point deficiencies; numbers of previous suspensions and probations; student petitions for re-evaluation; report of student progress toward academic readmission/removal of probation status at other institutions; academic honors and awards; and related documentation.		3						
06.610.10	15.5.00 2	Admissions/Enrollment Reports	Summary and statistical information relating to student admission programs which may be used for control, planning or review. May include but not limited to: Texas Higher Education Coordination Board (THECB) report: reports sent to administration; or beginning of semester enrollment reports sent to office of institutional research.	PM						For raw data or working files used to create these reports, see RSIN 1.1.065.	



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06.611.10	16.5.010	External Recruiters Records	This series provides a record of recruiter visits to the campus to participate in job fairs or conduct job interviews. May include but not limited to: scheduling calendars; recruiter schedules; recruiter information forms; lists of interviewees; and feedback forms from recruiters.		2						See RSIN 1.1.019 for marketing materials. See RSIN 11.1.006 and/or 11.1.007 for event planning records. See RSIN 15.5.005 for university student recruitment.	
06.611.40	16.1.040	Student Health Insurance Records	University copies of information relating to the selection by students of health insurance offered to students through the university.	AC				AC = Until superseded or date of last attendance.				
07.100.10		Forest Resource Development	Programmatic and operational records maintained by the Texas A&M Forest Service related to the agency's statutory forestry responsibilities.	FE	5				O		Texas Educ. Code ch. 88, subch. B.	
07.100.11		Apiary Inspection Service Program Records	Records maintained by the Chief Apiary Inspector, employed by Texas A&M AgriLife Research, related to the inspector's statutory responsibilities for functions such as permitting, inspections, registration, and disease control.	AV							Tex. Agric. Code ch. 131, 4 Tex. Admin. Code ch. 71.	
07.100.15	17.3.016	Scientific Misconduct Records	Accusations of research project-related misconduct brought forward by or against university personnel and affiliates.	AC	7			AC = Completion of proceeding involving the research misconduct allegation.			42 CFR 93.317(b).	



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07.100.20	17.3.005	Institutionally Funded Research - Minutes and Final Research Reports	This series documents the activities of the institutional councils and boards, which review proposals and make recommendations for awards to faculty for research that is not otherwise supported by organized or directed programs but is designed to lead to other funding sources. Examples of projects funded are pilot research, emergency funding, emerging research opportunities, new research field or new research field for investigator, developing research laboratories, and centrally shared research resources. This series includes meeting minutes and final research reports.	PM					O	NOTE: The academic department and university archives should determine whether the permanent record will be maintained in archives or the department.	21 CFR 56.115(b), 42 CFR 73.17(c).



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07.100.30	17.3.007	Institutionally Funded Research - Project Review Records	This series documents the activities of the institutional councils and boards, which review proposals and project funding requirements to make recommendations for awards to faculty for research that is not otherwise supported by organized or directed programs but is designed to lead to other funding sources. Examples of projects funded are pilot research, emergency funding, emerging research opportunities, new research field or new research field for investigator, developing research laboratories, and centrally shared research resources. This series may include but is not limited to: applicant case files; agendas; notes; working papers; award letters; and applications for research support.	AC	5			AC = Date of notification.			21 CFR 56.115(b).
07.101.10		Research Proposals - Denied	Not Funded.		3						
07.101.20	5.1	Research Files - Externally Funded Projects	Externally Funded Projects. Proposals, agreements (grants, cooperative agreements, contracts), technical reports, sub-agreements, and related records	AC	7			AC = Completion of the project or longer as required by the agreement, or applicable federal or state law or regulation.		Series includes records fitting to 5.1.001a/b. Research data should be retained in accordance with RSIN 07.101.30.	Tex. Gov't Code 441.1855.



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07.101.30	17.3.013	Research Data - Funded Projects	Final and interim research reports, working files, research data, protocols, laboratory notebooks, documentation, and any specimens produced for a granting agency or sponsor for funded research, studies, clinical trials, and non-clinical trials.	AC	7			AC = Expiration or termination of the grant or sponsorship agreement, or close of study, whichever applicable.	O	CAUTION: Research grants may have individual guidelines for retention. Records must be retained in accordance with guidelines of grant or contract. ARCHIVES NOTE: Working files used in creating the final research report are not subject to archival review and may be disposed of at the expiration of the retention period.	NIH Guidelines, 2 CFR Pt. 200, 2 CFR 200.334, 21 CFR 58.195(b), 40 CFR 160.195(b), 42 CFR 73.17(c).
07.101.35	17.3.012	Research Data - Non-Grant Funded Projects	Non-regulated research activities and research data of projects that are not funded by grants and are not subject to any state or federal guidelines.	AV						See RSIN 17.3.013 for research data related to grant-funded or sponsored research.	
07.101.40	17.3.001	Animal Breeding and Management Records	Records relating to the care, management, and breeding of animals for research and teaching purposes.	AC	3			AC = Completion of activity, death of animal, or transfer of animal to another institution, as applicable.		CAUTION: If the research facility has been notified in writing that specified records shall be retained pending completion of an investigation or proceeding, the research facility shall hold those records until their disposition is authorized in writing by the United States Department of Agriculture, Animal and Plant Health Inspection Service.	7 USC 2140, 9 CFR 2.35



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07.101.45	17.3.018	Animal Research Controlled Substances	Lists and logs of controlled substances used by veterinarians in animal research. Records may list dates of drug acquisition, quantity of purchases, dates dispensed, patients receiving drugs, and total balance on hand of scheduled drugs.		5					See RSIN 16.1.031a/b for health clinic or hospital pharmacy records.	22 TAC 573.50.
07.101.50	17.3.003	Institutional Animal Care and Use Committee (IACUC) Records	Institutional Animal Care and Use Committee (IACUC) meeting minutes, records of attendance, activities of the committee, committee deliberations, records of proposed activities involving animals and proposed significant changes in activities involving animals, and whether IACUC approval was given or withheld, and semiannual IACUC reports and recommendations (including minority views).	AC	3			AC = Completion of the activity.		CAUTION: If the research facility has been notified in writing that specified records shall be retained pending completion of an investigation or proceeding, the research facility shall hold those records until their disposition is authorized in writing by the United States Department of Agriculture, Animal and Plant Health Inspection Service.	9 CFR 2.35, 42 CFR 73.17(c)
07.101.60	17.3.004	Institutional Biosafety Committee	Meeting minutes and reports of the Biosafety Committee.		5						42 CFR 73.17(c).



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07.101.70		Institutional Review Board Committee Records (Human Subjects Research)	Internal Review Board (IRB) committee records including reports and meeting documentation and may include but are not limited to: IRB meeting minutes, records of attendance, activities of the committee, committee deliberations, records of proposed activities involving human subjects and proposed significant changes in activities involving human subjects, and whether IRB approval was given or withheld, and semiannual IRB reports and recommendations (including minority views).	AC	3			AC = Longest of the following: Completion of the activity or applicable federal or state laws or regulations.		See RSIN 07.101.60 for Institutional Biosafety Committee Records.	
07.102.10	1.1.067	Chemical Analysis Reports	Chemical analysis reports generated and maintained by the Texas Feed and Fertilizer Control Service/Office of the Texas State Chemist, Texas A&M AgriLife Research, pursuant to its statutory responsibilities.		5						Tex. Agric. Code ch. 63, 141; 4 Tex. Admin. Code Pt. 3.



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07.200.10		Patient Records-Dental	This records series consists of the current and complete dental record for every patient seeking care or service from the Texas A&M School of Dentistry Clinic.	AC	5			AC = Date of patient's last visit.		If a patient is younger than 18 years of age when the patient was last treated, disposition may take place on or after the date of the patient's 21st birthday or on or after the 5th anniversary of the date on which the patient was last treated, whichever date is later. 22 Tex. Admin. Code § 108.8(b). NOTE: Shadow files (copies) of patient records must be retained only for the duration necessary to assist the health care professional in tracking and providing care to the patient and should not be held any longer than the original record.	



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07.200.20	16.1.025	Medical Records-Hospital	Medical services history provided for patients treated by physicians, psychologists, or psychiatrists, and other medical staff at university hospitals, counseling centers, or other health institutions. May include but not limited to: appointment request slips; summary sheets; bacteriology test results; treatment record forms; diagnosis sheets; health history/screening sheets; initial evaluation/assessment sheets; referral sheets; personal health history sheets; dental examination sheets and X-rays; laboratory test results; physical therapy notes; X-ray release forms; X-ray requisitions with narrative or radiologist notes; and memoranda.	AC				AC = 7 years after termination of services with client, or until client reaches 21 years of age, whichever greater.		CAUTION: For records documenting forensic sexual assault exams, records must be retained for 20 years, per Health and Safety Code 241.1031. CAUTION: Student athlete medical records may have additional requirements per NCAA rules. See RSIN 18.2.005. See RSIN 16.1.008 for mental health, counseling, and psychotherapy records. See RSIN 16.1.026 for student health clinic records. See RSIN 16.1.034 for psychotherapy notes. See RSIN 16.1.038 for medical source data.	22 TAC 165.1(b).



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07.200.21	16.1.026	Medical Records-Student Health Clinic	Medical services history provided for students treated by the student health center. May include but not limited to: appointment request slips; summary sheets; bacteriology test results; treatment record forms; diagnosis sheets; health history/screening sheets; initial evaluation/assessment sheets; referral sheets; health center billing statements; personal health history sheets; dental examination sheets and X-rays; laboratory test results; physical therapy notes; X-ray release forms; X-ray requisitions with narrative or radiologist; notes; and memoranda.	AC				AC = 7 years after termination of services with client, or until client reaches 21 years of age, whichever greater.		CAUTION: For records documenting forensic sexual assault exams, records must be retained for 20 years, per Health and Safety Code 241.1031. CAUTION: Student athlete medical records may have additional requirements per NCAA rules. See RSIN 18.2.005. See RSIN 16.1.008 for mental health, counseling, and psychotherapy records. See RSIN 16.1.025 for hospital records. See RSIN 16.1.034 for psychotherapy notes. See RSIN 16.1.038 for medical source data.	
07.200.31	16.1.020	Laboratory Inspection Records - Calibration Records	In-house survey or calibration of laboratory equipment on a quarterly basis.		3					See RSIN 5.2.005 for calibration records of non-regulated equipment.	42 CFR 493.1105, 25 TAC 289.202(nn)(1).



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07.200.40		Requests for Blood Component and Lab Tests	This series documents physician orders for laboratory tests in order to obtain blood components. It may include but is not limited to: name of patient; date; physician's signature; test(s) ordered and results; transfusion reactions, anti-body workups, and cord blood testing.	AC	7			AC = Last Patient Visit		This item applies to records that are not filed as part of the patient record. For records that are filed as part of the patient record, follow AIN 07.200.10, 07.200.20, or 07.200.21.	22. Tex. Admin. Code § 165.1. NOTE: Shadow files (copies) of patient records must be retained only for the duration necessary to assist the health care professional in tracking and providing care to the patient and should not be held any longer than the original record.
07.200.50	16.1.03 1a	Pharmacy Records- Prescription and Inventory	Inventory, prescription slips, and other records of the purchase, acquisition, disposal, or dispensation of drugs and controlled substances as required by federal law and regulations, state law, and the rules of the Texas State Board of Pharmacy (TSBP).	AC	2			AC = The later of the date that the record was required to be created, the record was created, or the prescription was last filled.		CAUTION: See legal citations for special filing requirements for controlled substance and electronic prescriptions. See RSIN 17.3.018 for pharmacy records related to animal research.	21 CFR 1304.04(a), Health and Safety Code, Sections 481.067(c) and 23, 22 TAC 291.75(a).
07.200.51	16.1.03 1b	Pharmacy Records- Personnel Log	Pharmacy log of the unique initials or identification codes which identify pharmacy personnel by name.	AC	7			AC = Date of transaction.			22 TAC 291.75(e)(1).



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07.200.70	16.1.010	Donor Records - Medical	Bequeathal forms, cadaver tracking and acceptance information, death certificates, State Anatomical Board (SAB) forms, Morgue Control Sheets, and final disposition records for people who have donated their bodies, organs, or tissues to the institution.	PM						For other physical and monetary donations and gifts, see RSIN 13.2.003.	Health and Safety Code, 691.031.
07.200.80	4.1.009	Payment Waivers / Adjustments	Patient billing accounts that have been written off. Records may include but are not limited to payment waivers for prescriptions and copays; teaching case waivers, insurance explanation of benefits (EOB).	FE	3					Dental School and clinics use these records as paper backup to electronic billing records systems.	
07.201.01	16.1.001	Abuse and Neglect Records	Documentation of abuse and/or neglect findings observed by medical staff during patient care. The findings may be incident/variance reports and evidence of child, domestic, elder, or other kinds of abuse.	AC				AC = 10 years after report date for adults, or 10 years after minor reaches the age of majority.			Code of Criminal Procedure, 12.01.
07.201.02	16.1.002	Adverse Drug Event Records	Records related to adverse drug events or medical occurrences in patients and others served by the institution, excluding events taking place during a research study.		5					See RSIN 17.3.012 and 17.3.013 for research data.	



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07.201.03	16.1.00 6	Communicable Disease Records	Communicable disease logs and reporting records. May include but not limited to: copies of laboratory test results; name and address of patient; date; and person making referral.		3					See RSIN 16.1.013 for other laboratory test results.	25 TAC 97.2.
07.201.04	16.1.00 7	Continuing Medical Education (CME) Class Records	Records required for accreditation and administration of Continuing Medical Education (CME), Continuing Dental Education (CDE), and Continuing Nursing Education (CNE) training courses or programs, including activity and attendance records.		6					See RSIN 17.1.006 for all other continuing education records.	Accreditation Council for Continuing Medical Education (ACCME).
07.201.05	16.1.00 8	Mental Health Counseling Records	Professional counseling center service records. May include but not limited to: extensive notes made by providers concerning the assessment, diagnosis, treatment and contacts (written, telephone, or in person) with each client; mental health records; therapy records; psychotherapy notes; referral letters; release of information agreements; and letters to agencies or others concerning clients.	AC				AC = 7 years after termination of services with client, or 5 years after client reaches age of majority, whichever is greater.		CAUTION: Follow professional licensing board rules if they require longer retention. CAUTION: Student athlete medical records may have additional requirements per NCAA rules. See RSIN 18.2.005. See RSIN 16.1.025 or 16.1.026 for medical records. See RSIN 16.1.034 for psychotherapy notes.	



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07.201.06	16.1.009	Disclosure of Protected Health Information	Disclosures and policies or procedures governing the protection of Protected Health Information (PHI) in accordance with the Health Information Portability and Accountability Act (HIPAA).	AC	6			AC = Date of disclosure or last effective date of policy, whichever applicable.			45 CFR 164.528(b)(1), 45 CFR 164.530(j).
07.201.07	16.1.011	Medical Assistance Applications	Applications submitted on behalf of a patient to a drug company's or medical institution's assistance program.	US	1						
07.201.08	16.1.012	Drug Recall Notices	United States Food and Drug Administration (FDA) and manufacturer recalls on drugs. May include but not limited to: reportable occurrences of drug use; recalls through the manufacturer; and responses by departments.	AC				AC = 5 years after the records of manufacture have been completed or six months after the latest expiration date for the individual product, whichever later.			21 CFR 600.12, 21 CFR 7.59(c).
07.201.09	16.1.013	Final Laboratory Test Reports - Pathology	Test results and preliminary reports specific to pathology, histology, and cytology testing. Documentation includes the test requisition plus the specimen's accession number, the date and time the lab received the specimen, the condition and disposition of samples which do not meet the lab's acceptance standards, and the records and dates of performance of each step in the patient testing leading to and including the final report.		10						42 CFR 493.1105(a)(6)(ii).



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07.203.01	16.1.01 6	Health Assessment	Health assessment and screening records performed outside of regular treatment facilities and not entered into patient medical records (e.g. cholesterol screening, blood pressure testing, etc.).	AV						See RSIN 16.1.009 for disclosures of protected health information (PHI).	
07.203.02	16.1.01 7	Health Referrals - Denied or Not Seen	Documentation of instances where outpatients are referred to the institution by non-institutional practitioners who are denied health-related services or who are not seen by the institution.	AV							
07.203.03	16.1.01 8	Immunization Record and Consent Forms	Signed consent forms and records noting the type of immunization performed which are not included in the patient's medical record.	AC				AC = 21st birthday for minors, or 10 years following end of calendar year in which the consent form was signed, whichever is later.		See RSIN 1.1.067 for immunization reports required by the Texas Education Code and the Texas Health and Safety Code.	
07.203.04	16.1.02 2	Medicaid Provider Records	All records necessary to fully disclose Medicaid reimbursable services provided, including financial records relating to program services.	AC	5			AC = Date of service or until all audit questions, appeal hearings, investigations, or court cases are resolved.			1 TAC 354.1004.



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07.203.05	16.1.023	Medical Device Recall Notices and Responses	United States Food and Drug Administration (FDA), Safe Medical Devices Act (SMDA) and manufacturer recalls on all medical, food and drug devices. May include but not limited to: reportable occurrences on devices, recalls through the manufacturer, and responses by institutional departments.	AC	2			AC = Life of device (device no longer in use, has been explanted, returned to the manufacturer, or patient has died).			21 CFR 806.20(c), 21 CFR 821.60.
07.203.06	16.1.024	Medical Logs	Log of patients visiting the health institution (both inpatients and outpatients) and patient encounters. The log may be used to create annual census reports and 3-year census comparisons, and it may include the date and time that the patient came in; appointment; admission; transport; dispatch; the physician assigned; diagnosis; discharge; patient photo; patient service; length of stay; remarks; case logs, and other medical logs.		3						



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07.203.07	16.1.027	Medical Rotation Records - Non-Affiliated Medical Students, Residents and Fellows	Medical rotation records for medical students, residency physicians, or fellows not affiliated with this university, but are accepted to practice medicine under the supervision of a licensed physician at this hospital as part of an elective not offered at their hospital. May include but not limited to: formal request to rotate, curriculum vitae, drug test, permit to practice medicine, and evaluations.	AC	5			AC = Completion of training or date of last attendance.		CAUTION: Records for affiliated students are kept with other student records, and records for affiliated residents/fellows are kept with residency records (RSIN 16.1.036 and 16.1.037).	
07.203.08	16.1.034	Psychotherapy Notes	Notes recorded by a health care provider who is a mental health professional documenting or analyzing the contents of conversation during a private counseling session or a group, joint, or family counseling session and that are separated from the rest of the individual's medical record. Psychotherapy notes exclude medication prescription and monitoring, counseling session start and stop times, the modalities and frequencies of treatment furnished, results of clinical tests, and any summary of the following items: diagnosis, functional status, the treatment plan, symptoms, prognosis, and progress to date.	AC				AC = 7 years after termination of services with client, or until client reaches 21 years of age, whichever greater.		See RSIN 16.1.008 for counseling records.	45 CFR 164.501



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07.203.09	16.1.03 5	Quality Assurance Records Health Services	Quality assurance records such as documentation of equipment monitoring, checks of quality control items, and any necessary corrections; reports by the staff; quality assurance committee notes; Morbidity & Mortality (M&M) conferences for residents, and staff reviews.		2					CAUTION: Federal or state regulations may require longer retention periods for specific health quality assurance reports.	
07.203.10	16.1.03 6	Physician in Training (PIT) Formative Evaluations	Formative evaluations of resident physicians created during training periods.	AC				AC = After resident has graduated or until any dispute involving the resident has been resolved, whichever occurs later.		See RSIN 16.1.037 for final summative evaluations.	
07.203.11	16.1.03 7	Physician in Training (PIT) Completion Records	Records created to verify completion of residency and fellowship education requirements for accepted physicians in training. May include but not limited to: final summative evaluations; Certification of Residency; and completion of resident program.	AC	50			AC = Completion of training, or last date of training, as applicable.		See RSIN 16.1.007 for Continuing Medical Education records. See RSIN 16.1.036 for formative resident evaluations.	



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07.203.12	16.1.038	Medical Source Data	Medical source data and health information stored in any original media. May include but not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g., pharmacy information systems and radiation oncology information systems). Source data is distinct from the written interpretations of significant clinical information that has been forwarded to the medical record.	AV	5					CAUTION: Some source data, such as fetal monitoring strips or mammography images, may need to be kept longer. See RSIN 16.1.025 or 16.1.026 for information transcribed in medical records.	42 CFR 482.26(d)(2).
07.203.13	16.1.041	Surgical Instrument Sterilization Records	Sterilization of surgical instruments used by the health institution. May include: autoclave recording charts and log sheets indicating date; load number; items sterilized; and temperature/time settings.	AV	2						
07.300.10		4-H Program Records	Records maintained by Texas A&M AgriLife Extension for 4-H youth programs.	AV						CAUTION: See RSIN 16.5.003 for staff records for programs that constitute "youth camps" under state law.	



THE TEXAS A&M UNIVERSITY SYSTEM
Records Retention Schedule

Retention Codes (Field 7)

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

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

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist
 E – Exempt from archival review and transfer

Texas A&M System Records Retention Schedule (9th Recert., eff. 08/26/2024)

1. Agency Code: 710		2. Agency Name: Texas A&M System Office									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
07.301.10		Camps/Programs for Minors Records	Records of Camps/Programs for Minors operated by A&M System universities or agencies.	AC				AC = Administrative value or longer as required by applicable state law or System policy.		CAUTION: See RSIN 16.5.003 for staff records for camps/programs that constitute "youth camps" under state law. See AIN 07.300.10 for 4-H Program Records.	
07.302.10	16.5.003	Child and Youth Program Staff Records	Staff applications for child and youth programs, background check reports, and training documentation.	AC	2			AC = Termination of staff.		CAUTION: If the youth camp is notified of an investigation or conviction of a camp staff member for an act of sexual abuse, as defined by §21.02 of the Texas Penal Code, which occurred at the camp, the camp shall retain all records related to the investigation or conviction until the department notifies the camp that the record retention is no longer required.	25 TAC 265.12.



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					Years	Months	Days				
07.303.10	16.5.009	Non-Institution Student Records	Senior learning programs and elementary through high school level program records for non-institution children, youth, and other students, including students belonging to special, minority, or disadvantaged groups. May include but not limited to: application, admission, and enrollment documentation; progress reports and assessments; parental consent forms; activity records; lists of attendees; personal and family information; medical and health documentation; selection and decision making documentation; Educational Opportunity program (EOP) documentation; notification of admission and non-admission; recommendations and evaluative materials; copies of academic records; counseling and advising notes and documentation; housing and conduct documentation; immigration and citizenship documentation; and financial responsibility records. Programs include but are not limited to: Upward Bound and High School Equivalency Program (HSEP).	AC	3			AC = End of program session or student separation from program, as applicable.		See RSIN 16.5.003 for child and youth program staff records.	



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					Years	Months	Days				
07.304.10	18.1.00 1	Daily Broadcast Logs	Daily broadcast activities of the institutional radio station or television channel. May include but not limited to: log sheets showing time signed on and off; any delays in broadcasting; engineer's name; announcer's name; and technical difficulties.		2					CAUTION: See legal citations for exceptions to the retention requirement in the event of disasters, claims, or complaints to the Federal Communications Commission (FCC).	47 CFR 73.1840(a), 47 CFR 73.1800, 47 CFR 73.1820.
07.304.20	18.1.00 4	Broadcast Station Public Inspection File	Public inspection file for noncommercial radio stations, which includes all records listed in 47 CFR 73.3527(e), as required by the FCC.	AC				AC = Expiration or cancellation of license or permit.			47 CFR 73.3527(e).