



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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

Category 1: Administrative Records Section 1.1 - General							
1.1.073	559	Administrative Hearings Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes.	AC + 3		AC + 3	O	AC = Last action.
1.1.002	34	Audits Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC + 7		AC + 7		AC = Publication or release of final audit findings. The State Auditor's Office retains any copies of its audits performed on Texas state agencies.
1.1.004	191	Legislative Appropriation Requests Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC + 6		AC + 6	I	AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.

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CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset PM – Permanent US – Until Superseded



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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
1.1.006	80	Complaint Records Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC + 2		AC + 2	AC = Final disposition of the complaint. CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048.		
1.1.007	89	Correspondence - Administrative Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.	4		4	O ARCHIVES NOTE: Archival review is required only for the administrative correspondence of the Office of the President, senior and vice presidents, the Provost's Office, Legal Counsel, Internal Audit, and other upper executive staff members. This record series also includes correspondence from task forces, university committees and faculty. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.		

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			Agency	Storage	Total			
1.1.008	90	Correspondence - General Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.	2		2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.	
1.1.010	105	Directives Any document that officially initiates, rescinds, or amends general office procedures.	US + 1		US + 1			
1.1.011	135	Executive Orders Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.	US + 3		US + 3	I		

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			Agency	Storage	Total	9. Remarks		
1.1.013	177	Calendars, Appointment and Itinerary Records Calendars, appointment books or programs and scheduling, or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.	CE + 1		CE + 1	O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.	
1.1.014	190	Legal Opinions and Advice From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV		AV	O	Caution: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. See 1.1.048.	
1.1.019	225	Communications and Marketing Office Files News clippings, news releases, photographs and video recordings.	2		2	O		
1.1.019	284	Public Relations Records News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.	2		2	O		

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			Agency	Storage	Total	9. Remarks			
1.1.020	230	Public Information Requests- Approved Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code).	AC + 1		AC + 1		AC = Date request fulfilled.		
1.1.021	231	Public Information Requests- Denied Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code).	AC + 2		AC + 2		AC = Date of notification that records are exempt.		
1.1.023	233	Organization Charts	US		US	I			
1.1.024	257	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC + 3		AC + 3	O	AC = Decision made to implement or not to implement result of planning process. Archives Note: Data processing planning records are not archival.		

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			Agency	Storage	Total	9. Remarks		
1.1.026	282	Proof of Publication- Texas Register Submissions Copies of all proposed, withdrawn, emergency, and adopted rules; open meetings notices; or any other documents required by law to be submitted to the Texas Register.	AC + 1		AC + 1		AC = Date of publication in the Texas Register.	
1.1.027	452	Proposed Legislation Drafts of proposed legislation and related correspondence.	AV		AV			
1.1.038	308	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC		AC		AC = Final disposition of summary report. See 1.1.067 for summary reports compiled from customer surveys.	
1.1.040	331	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC		AC	O	AC = End of term in office or termination of service in a state position.	
1.1.041	411	Suggestion System Records Suggestions submitted by agency personnel and responses.	1		1			
1.1.043	430	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US + 1		US + 1			

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			Agency	Storage	Total	9. Remarks					

1.1	429	Training Logs and Registers	AV		AV			
1.1.048	201	Litigation Files Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC + 1		AC + 1	O	AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit. ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the University Archivist for archival preservation.	
1.1.053	301	Registration Logs Logs or similar records used to register persons appearing before state agencies as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission.	AC		AC		AC = Report filed with the Texas Ethics Commission.	
1.1.055	334	Strategic Plans Information resources and operational strategic plans prepared in accordance with 2054.095 and 2056.002, Government Code.	AC + 6		AC + 6	I	AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	

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			Agency	Storage	Total	9. Remarks			
1.1.056	16	ADA (Americans with Disabilities Act) Documentation Self evaluations and plans documenting compliance with the requirements of the Americans With Disabilities Act.	3		3	28 CFR 35.105(c).			
1.1	527	ADA (Americans with Disabilities Act) Accommodation Requests Requests for employees and students participating in the Services to Students with Disabilities (SSD) program, and anyone visiting university facilities.	AC + 3		AC + 3	For employees, AC = Separation of employment of requestor. For students and visitors, AC = date of last contact. Note: records are confidential and sometimes subject to HIPAA.			

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1.1.057	433	<p>Transitory Information</p> <p>Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series.</p> <p>Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.</p>	AC		AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions.</p> <p>The disposal of transitory information need not be documented through destruction signoffs (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).</p>	
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1.1.058	219	Meeting Agenda and Minutes Official agenda and minutes of state boards, committees, commissions, councils, task forces, councils, departments and administrative organizations that conduct open meetings as required by Government Code, Chapter 551.	PM		PM	I	ARCHIVES NOTE: Agency retains permanent record copy. CAUTION: This records series and item numbers 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.	
1.1.059	223	Meetings, Certified Agendas or Tape Recordings of Closed Certified agendas or tape recordings of closed meetings of state boards, commissions, committees, and councils.	AC + 2		AC + 2		AC = The date of the meeting or completion of pending action involving the meeting, whichever is later. Government Code, 551.104(a). SEE caution comment at item number 1.1.058.	

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			Agency	Storage	Total				
1.1.060	224	Meetings, Audio or Videotapes of Open Audio or videotapes of open meetings of state boards, commissions, committees, and councils.	AC + 90 days		AC + 90 days		AC = Official approval of written minutes of the meeting by the governing body of an agency. CAUTION: Minutes of state agencies are permanent records. Audio and videotapes are not permanent media. State agencies may not retain audio or videotapes of the meetings of governing bodies in lieu of written minutes. The proceedings of all meetings of state boards, committees, commissions, and councils must be reduced to writing. SEE also caution comment at item number 1.1.058.		
1.1.061	457	Meeting Notes Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC + 90 days		AC + 90 days		AC = Approval of the formal minutes by the governing body. SEE caution comment at item number 1.1.058.		
1.1.062	222	Meetings - Supporting Documentation Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.	2		2	I	SEE caution comment at item number 1.1.058.		

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1.1	220	Meeting Minutes - HSC Medical Staff Committee	AV		AV	Cannot be subpoenaed, V.T.C.S 4447-D, Section 3.
1.1.063	221	Meeting Minutes and Notes- Staff Minutes or notes, and supporting documentation, taken at internal agency staff meetings.	1		1	
1.1.064	19	Agency Performance Measures Documentation Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE + 3		FE + 3	CAUTION: The FE + 3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.
1.1.065	309	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV		AV	CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. See especially 1.1.064.
1.1.066	304	Reports - Biennial or Annual Agency (Narrative) Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute.	AC + 6		AC + 6	I AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.

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

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1.1.070	272	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC + 3		AC + 3	O	AC = Completion or termination of program, rules, policies, or procedures. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071.	
1.1.071	273	Agency Rules, Policies, and Procedures - Working Files Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC + 3		AC + 3	O	AC = Completion or termination of program, rules, policies, or procedures. SEE ALSO Records Series Item Number 1.1.070.	

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Category 1: Administrative Records Section 1.2 – Records Management							
1.2.001	294	Records Destruction Authorizations Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE + 3		FE + 3		
1.2.003	147	Forms History File Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	AC + 1		AC + 1	AC = Discontinuance of use of form.	
1.2.005	298	Records Retention Schedule (SLR 105) Agency copy. Formerly RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C), and/or other forms designated by the State Records Administrator.	US		US	Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
1.2.010	295	Records Disposition Logs Logs or similar records listing records destroyed or transferred to the University Archives, showing records series title, dates of records, and date destroyed or transferred.	10		10		
1.2.012	296	Records Inventory Worksheets	US		US		

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Archival Codes (Field 8)

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1.2.013	293	Records Control Locator Aids Includes indexes, card files, shelf lists, registers, guides, etc.	AC		AC	AC = When control aid is updated, revised, or no longer needed. CAUTION: These records must carry the same retention period and archival code of the records they support.		
1.2.014	297	Records Management Plans Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US + 1		US + 1			

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Category 1: Administrative Records Section 1.3 – Publications and Publicity									
1.3.001	20	Agency Publications One copy of each state publication as defined on page xi of the introduction of TSLAC schedule, except a publication that is subject to a different retention period in TSLAC schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003, which also meet the definition, are closely associated with the appropriations process and must be retained AC + 6.	AC + 2		AC + 2	O	AC = Until superseded or obsolete. University retains record copy and sends required copies to the Texas State Publications Depository Program, Texas State Library and Archives Commission.		
1.3.001	21	Agency Publications- Serials/Newsletters	US + 5		US + 5	O	US = For serial publications issued in successive parts, from the date of release of the next part in the series. Send the required copies of the publications to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Agency policy to retain longer than TSLAC minimum.		

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



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2. Agency Code	768	3. Agency Name Texas Tech University System						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
1.3.002	285	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV		AV	O		

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

		Category 2: Electronic Data Processing Records					
		Section 2.1 – Automated Applications					
2.1.001	38	Automated Files - Processing Files Machine-readable files used in the creation, utilization, and updating of master files.	AC		AC	AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur. See Note 1.	
2.1	37	Automated Files - Master Files (Backup)	US		US	These files must meet retention requirements for their specific category. See Note 1.	
2.1.002	36	Automated Files - Master Files Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC		AC	AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records. See Note 1; a & b only.	

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Transfer to University Archives			
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			Agency	Storage	Total			
2.1.007	327	Software Programs Automated software applications and operating system files including job control language, program listing/source code, etc.	AC		AC	AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		
2.1.008	160	Hardware Documentation Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC		AC	AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		

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

2.1.009	110	Technical Documentation Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate, and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	AC		AC	AC = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	
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Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Transfer to University Archives			
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			Agency	Storage	Total	9. Remarks		
2.1.010	35	Audit Trail Records Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC		AC		AC = All audit requirements have been met.	
2.1.011	453	Finding Aids, Indexes, and Tracking Systems Automated indexes, lists, registers, and other finding aids used to provide access to records.	AC		AC		AC = The related records have been destroyed. CAUTION: These records must carry the same retention period and archival code of the records they support.	

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

		Category 2: Electronic Data Processing Records					
		Section 2.2 – Computer Operations and Technical Support					
2.2.001	15	Activity Monitoring Records Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.	AV		AV		
2.2.002	83	Computer Utilization/Chargeback Records Records used to document, calculate costs, and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.	FE + 3		FE + 3		
2.2.004	82	Computer Job Schedules and Reports Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.	3 months		3 months		
2.2.011	43	Batch Data Entry Control Records Forms and logs used to reconcile batches submitted for processing against batches received and processed.	AC		AC	AC = When reconciliation confirmed.	

Retention Codes (Field 7) AC – After Closed, Terminated, Completed, Expired, Settled AV – (as long as) Administrative Value CE – Calendar Year End FE – Fiscal Year End	Archival Codes (Field 8) I – Transfer to University Archives O – Review by University Archivist PM – Permanent US – Until Superseded
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			Agency	Storage	Total	9. Remarks			
2.2.012	236	Output Records for Computer Production Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV		AV		Output may either be in printed or magnetic form. If magnetic, the files, programs and documentation must be available.		
2.2.013	288	Quality Assurance Records Information verifying the quality of system, hardware, or software operations including records of errors or failures and the loss of data resulting from such failures, documentation of abnormal termination and of error free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy.	AC		AC		AC = No longer needed as an audit trail for any records modified.		
2.2.014	456	Internet Cookies Data resident on hard drives that make use of user-specific information transmitted by the Web server onto the user's computer so that the information might be available for later access by itself or other servers.	AV		AV		The disposal of Internet cookies need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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			Agency	Storage	Total			
2.2.015	423	History Files – Web Sites A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.	AV		AV		The disposal of history files need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	
2.2.016	328	Software Registrations, Warranties and License Agreements	LA + 3		LA+3			

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			Agency	Storage	Total	9. Remarks			

		Category 3: Personnel Records					
		Section 3.1 – Employee					
3.1.001	28	Applications for Employment - Not Hired Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	2		2		29 CFR 1602.49(a)
3.1.002	27	Applications for Employment - Hired Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC + 5		AC + 5		AC = Termination of employment.
3.1.006	91	Counseling Records Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisory level except in those agencies with counseling staff.	AC + 3		AC + 3		AC = Termination of counseling.

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

3.1.011	117	Employee Insurance Records Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	AC		AC	AC = Until superseded or termination of employment. CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	
3.1.012	119	Employment Advertisements/Announcements Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.	2		2	29 CFR 1602.49(a)	
3.1.013	121	Employment Contracts Executed, renewed, or amended on or prior August 31, 2015.	AC + 4		AC + 4	AC = Expiration or termination of the contract according to its terms. Government Code, 441.1855	
3.1.013	567	Employment Contracts Executed on or after September 1, 2015	AC + 7		AC + 7	AC = Expiration or termination of the contract according to its terms. Government Code, 441.1855	
3.1.014	122	Employment Selection Records Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving record and previous injury checks, pre-employment physical examinations, pre-employment drug screening test results, polygraph examination results; and all other records that document the selection process.	2		2	29 CFR 1602.49(a) CAUTION: Does not include criminal history checks. See 3.1.026.	

Retention Codes (Field 7)

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Archival Codes (Field 8)

I – Transfer to University Archives
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2. Agency Code 768		3. Agency Name Texas Tech University System						
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			Agency	Storage	Total	9. Remarks		
3.1.018	159	Grievance Records Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC + 2		AC + 2	AC = Final decision on the grievance. CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U. S. Department of Labor. See 1.1.048.		
3.1.019	247	Performance Appraisals - Staff and Non-Tenure Track	2		2	29 CFR 1620.32(c)		
3.1.019	248	Performance Appraisals - Teaching Assistant [non-faculty]	AC + 3		AC + 3	AC = Completion of teaching course or lab. 29 CFR 1620.32(c)		
3.1.019	249	Performance Appraisals - Tenure Track	6		6	29 CFR 1620.32(c)		
3.1.020	250	Personnel Corrective Action Documentation Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	AC + 5		AC + 5	AC = Termination of corrective action. CAUTION: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from this series used to support disciplinary action must be retained for the the minimum retention period described by item number 3.1.021.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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			Agency	Storage	Total	9. Remarks			
3.1.021	251	Personnel Disciplinary Action Documentation Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force, and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC + 5		AC + 5	AC = Termination of employment.			
3.1.022	252	Personnel Information or Action Forms Forms or similar records used to create or change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment.	2		2	29 CFR 1602.49(a)			

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			Agency	Storage	Total	9. Remarks		
3.1.023	276	Position/Job Descriptions Job descriptions, including all associated task or skill statements, for positions in an agency.	AC + 4		AC + 4	AC = Until superseded or job eliminated. 40 TAC 815.106(i).		
3.1.024	212	Physical Examinations – Drug Testing Records	AC + 2		AC + 2	AC = Termination of employment. CAUTION: Does not include pre-employment physical examinations. SEE number 3.1.014.		
3.1.024	216	Physical Examinations/Medical Reports Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.	AC + 2		AC + 2	AC = Until superseded or termination of employment. CAUTION: Does not include pre-employment physical examinations. SEE number 3.1.014.		
3.1.026	323	Security Clearances/Criminal History Checks Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC		AC	AC = End of the probationary term of the individual's employment or, if the individual is not hired for a security-sensitive position, after the information is used for its authorized purpose. Government Code § 411.094(e)		
3.1.027	431	Training and Educational Achievement Records (Individual) Certificates of completion, licenses, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC + 5		AC + 5	AC = Termination of employment.		

Retention Codes (Field 7)

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Archival Codes (Field 8)

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			Agency	Storage	Total	9. Remarks		
3.1.029	107	Documentation or Verification of Citizenship Federal reporting Form I-9.	AC + 1		AC + 1		AC = Termination of employment. 8 CFR 274a.2(b)(2)(i)(A) and (c)(2). CAUTION: Federal regulation requires that I-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later. Agencies should make certain that the I-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period.	
3.1.031	114	Employee Benefits - Other than Insurance Agency copies of information relating to the selection of available benefit options other than insurance.	AC + 2		AC + 2		AC = Until superseded or termination of employment. CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	
3.1	50	Biographical Records - Resumes of Employees	AC + 1		AC + 1	O	AC = Termination of employment.	
3.1.034	51	Biographical Records - Resumes Not Solicited	AV		AV		Retention period applies if an agency replies to the sender of a resume that it will be kept on file should future job openings occur. See item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.	

Retention Codes (Field 7)				Archival Codes (Field 8)	
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			Agency	Storage	Total	9. Remarks		
3.1.035	413	Surety/Performance Bonds Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency. a) Executed, renewed, or amended on or after September 31, 2015.	AC + 7		AC + 7	AC = Expiration or termination of the bond according to its terms. CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028. Government Code, 441.1855		
3.1.035	564	Surety/Performance Bonds Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency. b) Executed, renewed, or amended on or prior to August 31, 2015.	AC + 4		AC + 4	AC = Expiration or termination of the bond according to its terms. CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028. Government Code, 441.1855		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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			Agency	Storage	Total			
3.1.036	346	Apprenticeship Records Summary of applicant qualifications, evaluation basis for selection or rejection, original applications, job assignments, promotions, separations, layoffs, terminations, compensation records, conditions of work, time records, hours of training provided (separate from labor), minority status, and gender of all selected and rejected applicants.	5		5		29 CFR 30.8(e). 5 years retention unless otherwise stipulated by accreditation requirements, whichever is the longer of the two retention periods.	
3.1.038	283	Public Access Option Form Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code §552.024.	US		US		SEE item number 3.3.011.	

Retention Codes (Field 7)				Archival Codes (Field 8)			
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			Agency	Storage	Total	9. Remarks		
3.1.039	229	Ombudsperson Records Consultation records, notes, letters, memos, emails, reports and other documentation.	AC		AC	AC = Final decision or matter closed. If no activity is made on a particular case for 30 days, the Ombuds will consider the case to be closed. CAUTION: Does not include formal complaint filed with EEO. If matter becomes a grievance or the subject of counseling or litigation, or employee is subject to disciplinary action, the records are subject to retention is the appropriate records series. SEE 1.1.048, 3.1.006, 3.1.018, 3.1.020, and 3.1.021.		

<p><i>Retention Codes (Field 7)</i></p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – (as long as) Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p><i>Archival Codes (Field 8)</i></p> <p>I – Transfer to University Archives O – Review by University Archivist</p>
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			Agency	Storage	Total	9. Remarks		

Category 3: Personnel Records Section 3.2 – Payroll							
3.2.001	115	Employee Deduction Authorizations Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC + 4		AC + 4	AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.	
3.2.002	116	Employee Earnings Records Includes payroll notification letters	4		4	40 TAC 815.106(i).	
3.2.003	143	Federal Tax Records Includes 1099, W2, FICA, and other tax records.	AC + 4		AC + 4	AC = Tax due date, date the claim is filed, or date tax is paid whichever is later. 26 CFR 31.6001 - 1(e)(2).	
3.2.004	168	Income Adjustment Authorizations Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.	2		2	29 CFR 516.6(c).	
3.2.005	446	W-4 Forms Employer's copy of "Employee's Withholding Exemption Certificate."	AC + 4		AC + 4	AC = Until superseded, obsolete, or upon separation of employee. 26 CFR 31.6001-1 (e)(2).	
3.2.006	447	Wage Rate Tables	2		2	29 CFR 516.6(a)(2).	
3.2.007	436	Unemployment Claim Records	AC + 5		AC + 5	AC = After claim filed.	
3.2.007	437	Unemployment Compensation Records	AC + 5		AC + 5	AC = After compensation paid or rejected.	
3.2.008	104	Direct Deposit Application/Authorizations	US		US		

Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled
AV – (as long as) Administrative Value

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LA – Life of Asset

PM – Permanent
US – Until Superseded

Archival Codes (Field 8)

I – Transfer to University Archives
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			Agency	Storage	Total	9. Remarks		

3.2.009	332	State Deferred Compensation Records	AC + 5	AC + 5	AC = All accounts with a vendor or vendors for the individual participant have been closed. For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the <i>Benefits Coordinator Reference Manual</i> issued by the Employees Retirement System of Texas.		
3.2.010	164	Human Resources Information System (HRIS) Reports Includes supporting documentation.	AC + 4	AC + 4	AC = Issuance of report.		
3.2	245	Payroll- Cover Sheets/Notifications for Hourly Payroll	FE + 3	FE + 3			
3.2	246	Payroll- Zero Bills not written to history report	3 months	3 Months			

<p><i>Retention Codes (Field 7)</i></p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – (as long as) Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p><i>Archival Codes (Field 8)</i></p> <p>I – Transfer to University Archives O – Review by University Archivist</p> <p>LA – Life of Asset PM – Permanent US – Until Superseded</p>
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			Agency	Storage	Total	9. Remarks					

Category 3: Personnel Records Section 3.3 – Personnel Administration									
3.3.001	18	Affirmative Action Plans Affirmative action plans for both regular employees and apprenticeship programs.	5		5	29 CFR 30.8(e) for apprenticeship plans.			
3.3.004	44	Benefit Plans Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	US + 1		US + 1	29 CFR 1627.3(b)(2).			
3.3.010	187	Labor Statistics Reports Reports providing statistical information on labor force.	3		3				
3.3	145	Former Employee Verification Records - Departmental Only Departmental copies of employee information.	AC + 5		AC + 5	AC = Termination of employment. See also item 146 for Human Resources office copy.			
3.3.011	146	Former Employee Verification Records – Human Resources Office Only Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC + 75		AC + 75	AC = Termination of employment. See also item 145 for departmental office copy.			

Retention Codes (Field 7)

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Archival Codes (Field 8)

I – Transfer to University Archives
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			Agency	Storage	Total	9. Remarks			
3.3.015	277	Positions/Job Classification Review File Records relating to review and monitoring of job classifications within an agency.	US + 3		US + 3				
3.3.020	449	Work Schedules/Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1		1				
3.3.022	424	Texas Workforce Commission (TWC) Reports Reports to the agency from TWC or its predecessor pertaining to employees.	3		3				
3.3.023	434	Travel and Reimbursable Activities - Requests and Authorizations to Engage in Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE + 3		FE + 3				
3.3.024	274	Policies and Procedures - Personnel Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.	US + 3		US + 3				

Retention Codes (Field 7)				Archival Codes (Field 8)	
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AV – (as long as) Administrative Value	FE – Fiscal Year End		US – Until Superseded	O – Review by University Archivist	



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			Agency	Storage	Total	9. Remarks		

3.3.025	179	Job Procedure Records Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US + 3	US + 3			
3.3.026	22	Agency Staffing Reports Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name, staff hired during a month, detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US + 3	US + 3			
3.3.027	30	Aptitude and Skills Tests Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US + 2	US + 2		29 CFR 1602.49 CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.	
3.3.028	31	Aptitude and Skills Tests (Test Papers) Aptitude and skills test papers of job applicants or of current personnel taking a test to qualify for promotion or transfer.	2	2		29 CFR 1602.49	

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total	9. Remarks		
3.3.030	428	Training Administration Records Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern an agency's programs, services, or projects.	US + 2		US + 2		CAUTION: Does not include hazardous material training records. See 5.4.007.	
3.3.031	108	EEO Reports and Supporting Documentation Includes documentation used to complete EEO reports.	3		3		29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50.	
3.3.032	124	Equal Pay Records Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the federal Equal Pay Act.	3		3		29 CFR 1620.32.	
3.3	112	Employee Affidavits	AC + 5		AC + 5		AC = Until superseded or until termination of employment.	
3.3	120	Employee Confidentiality Forms	AC		AC		AC = Until superseded or until termination of employment.	
3.3	253	Personnel Office - New Position/Reclassification Letters	PM		PM			
3.3	254	Personnel Office - Veterans' Preference Documents	PM		PM			

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

Category 3: Personnel Records Section 3.4 – Time and Leave								
3.4.001	14	Accumulated Leave Adjustment Requests Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances on August 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE + 3		FE + 3			
3.4.002	188	Leave Status Reports Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE + 3		FE + 3			
3.4.003	192	Less Than Full-Time Worked Reports Dates and hours.	4		4		40 TAC 815.106(i).	
3.4.004	240	Overtime Authorizations	2		2			
3.4.005	241	Overtime Schedules	2		2			
3.4.006	426	Time Cards and Time Sheets	4		4		40 TAC 815.106(i).	
3.4.007	427	Time Off and/or Sick Leave Requests	FE + 3		FE + 3			
3.4.008	325	Sick Leave Pool Documentation Requests submitted, approvals, number of hours transferred in and out, etc.	FE + 3		FE + 3			

Retention Codes (Field 7)	Archival Codes (Field 8)
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PM – Permanent	



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			Agency	Storage	Total	9. Remarks			

Category 4: Fiscal Records Section 4.1 – Worksheets, Detail Information on Financial Event or Transaction									
4.1.001	9	Accounts Payable Information	FE + 3		FE + 3				
4.1.002	46	Billing Detail	FE + 3		FE + 3	CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001 and 5.5.007.			
4.1.003	64	Canceled Checks/Stubs/Warrants/Drafts	FE + 3		FE + 3				
4.1.005	173	Inventory and Other Cost Files Production, job, labor, quotes, pricing, specifications, etc.	FE + 3		FE + 3				
4.1.006	176	Investment Transaction Files	FE + 3		FE + 3				
4.1.007	432	Transfers or Budget Revisions Transfers or adjustment to budgets.	FE + 3		FE + 3				
4.1.008	109	Electronic Fund Transfers Direct Deposit Registers.	FE + 3		FE + 3				
4.1	57	Budget Revisions	FE + 3		FE + 3				

Retention Codes (Field 7)				Archival Codes (Field 8)			
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AV – (as long as) Administrative Value	FE – Fiscal Year End		US – Until Superseded	O – Review by University Archivist			



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			Agency	Storage	Total	9. Remarks		

Category 4: Fiscal Records							
Section 4.2 – Documents of Original Entry							
4.2.001	68	Cash Deposit Vouchers Cash deposit slips.	FE + 3		FE + 3		
4.2.002	69	Cash Receipts Includes receipts for fees (permits, licenses, renewals, etc.).	FE + 3		FE + 3		
4.2.003	93	Daily Cash Receipts Logs	FE + 3		FE + 3		
4.2.004	123	Encumbrance Vouchers Orders, statements, change orders, etc.	FE + 3		FE + 3		
4.2.005	286	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE + 3		FE + 3		
4.2.006	151	General Journal Vouchers	FE + 3		FE + 3		
4.2.007	136	Expenditure and Travel Vouchers Travel, payroll, etc.	FE + 3		FE + 3		

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

		Category 4: Fiscal Records Section 4.3 – Journals or Registers						
4.3	63	Business Transactions - Journals and Registers	FE + 3		FE + 3			
4.3.002	291	Receipts Journals or Registers	FE + 3		FE + 3			
4.3.003	137	Expenditures Journals or Registers	FE + 3		FE + 3			
4.3	202	Loan Journals or Registers	AC + 5		AC + 5	AC = Loan approved. Federally funded student financial aid must adhere to AC+5.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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AV – (as long as) Administrative Value	FE – Fiscal Year End						



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Category 4: Fiscal Records Section 4.4 – Ledgers							
4.4.001	152	General and Subsidiary Ledgers	FE + 3		FE + 3		
4.4.002	11	Accounts Receivable Ledgers	FE + 3		FE + 3		
4.4.003	10	Accounts Payable Ledgers	FE + 3		FE + 3		

Retention Codes (Field 7)	Archival Codes (Field 8)
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Category 4: Fiscal Records Section 4.5 – Reports							
4.5.001	450	Worksheets for Preparing Fiscal Reports	FE + 3		FE + 3		
4.5.002	172	Internal Fiscal Management Reports Includes agency monthly budget reports.	FE + 3		FE + 3		
4.5.003	25	Annual Financial Reports Required by the General Appropriations Act (100 Day Report).	AC + 6		AC + 6	O	AC = September 1 of odd-numbered calendar years.
4.5.005	307	Reports - External Fiscal Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB reports, which are monthly construction reports and System HUB expenditures.	FE + 3		FE + 3		
4.5.006	26	Annual Operating Budgets Required by the General Appropriations Act.	FE + 3		FE + 3	O	

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			Agency	Storage	Total	9. Remarks					

Category 4: Fiscal Records Section 4.6 – Documents Showing Compliance with System of Internal Control									
4.6.001	41	Balancing Records	FE + 3		FE + 3				
4.6.002	292	Reconciliations	FE + 3		FE + 3				
4.6.003	67	Cash Counts	FE + 3		FE + 3				

Retention Codes (Field 7)	Archival Codes (Field 8)
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Category 4: Fiscal Records Section 4.7 – Other Fiscal							
4.7.001	8	Accounting Policies and Procedures Manual	US + 3		US + 3		
4.7.002	42	Bank Statements	FE + 3		FE + 3		
4.7.003	65	Canceled Checks - Returned/Uncollectable	AC + 3		AC + 3	AC = After deemed uncollectable.	
4.7.004	66	Capital Asset Records	LA + 3		LA + 3		
4.7.005	73	Claim Files	AC + 3		AC + 3	AC = Resolution of claim.	
4.7.006	81	Comptroller Statements	FE + 3		FE + 3		
4.7.007	103	Detail Chart of Accounts One for all accounts in use for a fiscal year.	FE + 3		FE + 3		
4.7	154	Grants - Applications and Proposals	FE + 3		FE + 3	O	
4.7.008	155	Grants - Federal Information on File	AC + 3		AC + 3	AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule). CAUTION: Retention requirements may vary depending on the specific federal funding agency. Agencies must ensure that records are retained for the appropriate retention period.	
4.7	156	Grants - Private Foundations and/or Non-State or Federal Sources: Approved	AC + 3		AC + 3	AC = Satisfaction of the grant according to its terms.	
4.7	157	Grants - Private Foundations and/or Non-State or Federal Sources: Rejected	AC + 1		AC + 1	AC = Rejection of grant proposal.	

Retention Codes (Field 7)

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Archival Codes (Field 8)

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4.7	158	Grants - State Grant Records	AC + 3		AC + 3	AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).	
4.7.010	55	Bonds and Notes - Cancelled and Paid, Interest Coupons [Long-Term Liability Records]	AC + 3		AC + 3	AC = Retirement of debt.	
4.7	53	Bonds - Bond and Coupon Certificates of Destruction	AC + 3		AC + 3	AC = Retirement of debt.	
4.7	54	Bonds - Current Bonds and Bondholder Records	AC + 3		AC + 3	AC = Retirement of debt.	
4.7	300	Refunds and Repayments	FE + 5		FE + 5	Pell Grant Federal Regulations and other campus based programs. 34 CFR 676.19. See also 34 CFR 668.24(e) for additional retention information.	
4.7.012	326	Signature Authorizations Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	US + FE + 3		US + FE + 3		
4.7..011	560	Texas Facilities Commission Statements (TFC) Charge or bill statements received by agencies from the TFC for services provided.	FE + 3		FE + 3		

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total	9. Remarks					
4.7	435	Truth-in-Lending Statements	5	10	15	Buckley Amendment, Confidential record. Office of origin is responsible for arranging storage.					

Retention Codes (<i>Field 7</i>)				Archival Codes (<i>Field 8</i>)			
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			Agency	Storage	Total	9. Remarks		

Category 5: Support Services Records Section 5.1 – General							
5.1.001	86	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, purchase orders, inspection reports, and correspondence. a) Executed, renewed, or amended on or after September 1, 2015.	AC + 7		AC + 7	AC = Expiration or termination of the instrument according to its terms. CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028 for building construction contracts and item number 5.1.001 for Contracts and Leases. Government Code, 441.1855	
5.1.001	554	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, purchase orders, inspection reports, and correspondence. b) Executed, renewed, or amended on or prior August 31, 2015.	AC + 4		AC + 4	AC = Expiration or termination of the instrument according to its terms. CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028 for building construction contracts and item number 5.1.001 for Contracts and Leases. Government Code, 441.1855	

Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled
 AV – (as long as) Administrative Value

CE – Calendar Year End
 FE – Fiscal Year End

LA – Life of Asset

PM – Permanent
 US – Until Superseded

Archival Codes (Field 8)

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



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

5.1.003	100	Delivery Reports	2		2			
5.1	204	Mail - Forwarding Address	1		1			
5.1	207	Mail - Shipping/Freight Information	AV		AV			
5.1.004	206	Mailing and Telecommunications Lists Any mailing address, telephone or fax number, or e-mail address records maintained by an agency on its employees or on entities or persons it serves.	US		US			
5.1.005	278	Postage Records Records and reports of postage expenses, including postal meter usage.	FE + 3		FE + 3			
5.1.007	311	Requisitions for In-Agency or Inter-Agency Copy/Printing Service Includes word processing and data processing.	AV		AV			
5.1.011	256	Photocopier and Telefax Usage Logs and Reports	AV		AV			
5.1.012	72	Charge Schedules/Price Lists Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges.	US + 3		US + 3			

<p><i>Retention Codes (Field 7)</i></p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – (as long as) Administrative Value</p>	<p><i>Archival Codes (Field 8)</i></p> <p>I – Transfer to University Archives O – Review by University Archivist</p>
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2. Agency Code	768	3. Agency Name Texas Tech University System						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

5.1.013	171	Insurance Policies For vehicles, equipment, etc. a) Executed, renewed, or amended on or after September 1, 2015.	AC + 7		AC + 7	AC = Expiration or termination of the policy according to its terms. Government Code, 441.1855	
5.1.013	555	Insurance Policies For vehicles, equipment, etc. b) Executed, renewed, or amended on or prior August 31, 2015.	AC + 4		AC + 4	AC = Expiration or termination of the policy according to its terms. Government Code, 441.1855	
5.1.014	228	Office Procedures Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency; for example, agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US + 1		US + 1		
5.1.015	205	Mailing and Correspondence Tracking Records Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers.	1		1		

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



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2. Agency Code 768		3. Agency Name Texas Tech University System							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			
5.1.017	85	Contract Logs List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE + 3		FE + 3				

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



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

Category 5: Support Services Records Section 5.2 – Facilities Management							
5.2.001	29	Appraisals - Building or Property	AV		AV	O	
5.2	52	Boiler Records Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc.	LA + 3		LA + 3		For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.
5.2	58	Building Capital Improvement Program Reports summarizing the lists of building projects for each campus which is submitted to the Coordinating Board annually.	AC + 3		AC + 3	O	AC = After submission to the Coordinating Board.
5.2.002	60	Building Construction Project Files Planning, design, and construction records; accepted and rejected bids; correspondence; etc.	AC + 10		AC + 10	O	AC = Completion of project. See also item numbers 5.2.003 and 5.2.028.
5.2.003	61	Building Plans and Specifications – State-Owned Includes architectural and engineering drawings, profiles, and blueprints.	LA		LA		See also item numbers 5.2.002 and 5.2.028.
5.2.003	553	Building Plans and Specifications Includes architectural and engineering drawings, profiles, and blueprints.	AC + 2		AC + 2	I	AC= For leased buildings, termination or cancellation of lease. See also item numbers 5.2.002 and 5.2.028.
5.2.004	62	Building Space Requests	1		1		
5.4	99	Deeds and Easements	LA		LA	I	

Retention Codes (Field 7)

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AV – (as long as) Administrative Value

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LA – Life of Asset

PM – Permanent
US – Until Superseded

Archival Codes (Field 8)

I – Transfer to University Archives
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2. Agency Code 768		3. Agency Name Texas Tech University System							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			
5.2.006	70	Destruction, Certificate of Destruction of Property	FE + 3		FE + 3				
5.2.007	94	Damage Reports Reports of damage to university property.	FE + 3		FE + 3				
5.2.008	127	Equipment History File and Service Agreements Agreements or contracts between the agency and equipment vendor to provide maintenance service for equipment. Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc.	LA + 3		LA+3				
5.2.009	128	Equipment Inventory Detail Report Forms Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE + 3		FE+3				
5.2.010	129	Equipment Manuals	LA		LA				
5.2	130	Equipment Use Logs	AV		AV				
5.2.011	131	Equipment Warranties	AC + 1		AC + 1		AC = Expiration of warranty.		
5.2.012	132	Estimate Files (Supply and Repair Cost Estimates)	1		1				

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



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

5.2	518	Food and Alcohol Inventory Records Documents the dollar value of food, alcohol, and other consumable stock at the end of each month for planning, ordering, and fiscal accounting purposes. May include but is not limited to: in-house computer generated food inventory reports; alcohol inventory reports; summary reports; and other related documentation and correspondence.	FE + 3		FE + 3			
5.2.014	175	Inventory - Annual Physical Property, equipment, supply verification.	FE + 3		FE + 3			
5.2.015	227	Notices of Equipment Removed From Inventory	FE + 3		FE + 3			
5.2.016	174	Inventory System Update Listings Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.	AC		AC		AC = Transfer of information into annual listing.	
5.2.018	289	Quality Control Reports	2		2			
5.2.019	324	Service Orders Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks.	1		1			
5.2.020	412	Supply Usage Records	FE + 1		FE + 1			

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



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768		Texas Tech University System							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			
5.2.021	414	Surplus Property Sale Reports	FE + 3		FE + 3				
5.2.022	438	Utility Usage Reports/Logs	AV		AV				
5.2.023	451	Year-to-Date Activity (Inventory Listing) Shows additions, changes, transfers, and deletions of information within the inventory system. Data include agency, division, tag number, batch, document, transaction date, location, item code, description, date, and cost.	FE + 3		FE + 3				
5.2.024	210	Material Specifications	AC + 2		AC + 2		AC = After materials are used.		
5.2.025	126	Equipment Descriptions and Specifications	AC + 2		AC + 2		AC = Discontinuance of equipment.		
5.2.026	138	Facilities Reservation Logs Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.	2		2				
5.2.027	330	Space Utilization Reports	AV		AV				
5.2.028	59	Building Construction Contract and Inspection Records Building construction contracts, surety bonds, and inspection records.	LA + 10		LA + 10	O	SEE ALSO item numbers 5.2.002 and 5.2.003.		
5.2	255	Pest Control Records Records of pesticide applications, inspections and sampling notifications, and other documentation required by pesticide regulations.	2		2		Texas Department of Agriculture 76.114(c) and by regulations 4 TAC 7.33(a) and 4 TAC 7.144(a).		

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



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

5.2	275	Pool Chemical Reading Logs	FE + 3		FE + 3			
5.2	299	Refrigerant Records	3		3			
5.2	319	Sanitation Landfill Tickets	FE + 3		FE + 3			
5.2	329	Site Development - Project and Planning Files and Related Materials	PM		PM	I		
5.2	448	Water Tests/Treatment	3		3			

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



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

Category 5: Support Services Records Section 5.3 – Purchasing							
5.3.002	148	Freight Bills Paid	FE + 3		FE + 3		
5.3.003	149	Freight Claims	AC + 2		AC + 2	AC = Resolution of claim.	
5.3.004	232	Order Acknowledgments	AV		AV		
5.3.005	242	Packing Slips	AV		AV		
5.3.007	45	Bid Documentation Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations. a) Associated with a contract executed, renewed, or amended on or after September 1, 2015.	AC + 7		AC + 7	AC=Expiration or termination of the instrument according to its terms and decisions not to proceed with the bid. Caution: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001 an 5.2.028.	
5.3.007	551	Bid Documentation Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations. b) Associated with a contract executed, renewed, or amended on or after September 1, 2015.	FE + 3		FE + 3	Caution: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001 an 5.2.028.	

Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled
 AV – (as long as) Administrative Value

CE – Calendar Year End
 FE – Fiscal Year End

LA – Life of Asset

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 US – Until Superseded

Archival Codes (Field 8)

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



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2. Agency Code 768		3. Agency Name Texas Tech University System						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
5.3.007	552	Bid Documentation Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations. c) Unsuccessful bids that do not meet agency submission requirements and are not included in bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.).	AC + 2		AC + 2	AC=Date of notification of denial or date of withdrawal, as applicable.		
5.3.008	287	Purchasing Logs Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE + 3		FE + 3			
5.3.009	310	Requests for Information (Goods and Services) Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC		AC	AC = Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.		

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



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

		Category 5: Support Services Records Section 5.4 – Risk Management				
5.4.001	7	Accident Reports and Associated Documentation Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally on accident frequency.	CE + 5		CE + 5	29 CFR 1904.33. The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.
5.4	511	Chemical Incident Records	AC + 30		AC + 30	AC = Date of separation of employee or student. 29 CFR 1910.1020(d); 29 CFR 1904.33 for Accident Reports and Associate Documentation; 29 CFR 1910.1020(d)(1)(ii) for Medical and Exposure Reports.
5.4.013	106	Disaster Preparedness and Recovery Plans Procedures, instructions, and other documents maintained to minimize the possibility of personal injury and property damage. Includes TTU emergency alert system documents such as sign up forms, requests not to participate, test logs and feedback.	US		US	
5.4	111	Emission Records	5		5	

Retention Codes (Field 7)	Archival Codes (Field 8)
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2. Agency Code 768		3. Agency Name Texas Tech University System							
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			Agency	Storage	Total				
5.4.002	133	Evacuation Plans Plans for evacuation of agency facilities in cases of emergency.	US		US				
5.4.003	169	Inspection Records Fire, safety, and other inspection records of agency facilities and equipment.	AC + 3		AC + 3		AC = Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency. CAUTION: Does not include inspection reports of building construction. See 5.2.028.		
5.4.004	144	Fire Orders Orders issued by Fire Marshal to correct deficiencies in compliance with the fire code.	AC + 3		AC + 3		AC = Deficiency corrected.		
5.4	510	Hazardous Materials - Exposure/Survey Forms Documents student and employee exposure to hazardous chemicals as per federal regulation.	AC + 30		AC + 30		AC = Date of separation of employee or student. 29 CFR 1910.1020(d)(1)(ii).		
5.4	161	Hazardous Materials Disposal Records	PM		PM		Opinion of Texas Tech University (TTU) Environmental Health and Safety.		
5.4.007	162	Hazardous Materials Training Records Records of training given employees in an agency hazard communications program.	5		5		Texas Health and Safety Code, 502.009(g).		
5.4.010	209	Material Safety Data Sheets	AC		AC		AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.		

Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Transfer to University Archives	
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2. Agency Code	768	3. Agency Name Texas Tech University System						
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			Agency	Storage	Total	9. Remarks		
5.4.012	322	Security Access Records Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency or state facilities, equipment or automated systems.	AC + 2		AC + 2		AC = Until superseded, date of expiration, or date of termination, whichever sooner.	
5.4.011	445	Visitor Control Registers Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.	3		3			
5.4.009	71	Workplace Chemical Lists	30		30		Health and Safety Code, Section 502.005(d).	

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

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

Retention Codes (Field 7)

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Archival Codes (Field 8)

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			Agency	Storage	Total	9. Remarks		

Category 5: Support Services Records Section 5.6 – Vehicles							
5.6.003	170	Inspection Repair and Maintenance Records - Vehicles	LA + 1		LA + 1		
5.6.004	200	License and Driving Record Checks	AC		AC	AC = Until superseded or until termination of employment.	
5.6.005	440	Vehicle Use Reports/Logs Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	FE + 3		FE + 3		
5.6.007	439	Vehicle Titles & Registrations	LA		LA		
5.6	523	Parking Citation and Ticket Records	AC + 3		AC + 3	AC = Resolution. Parking and Pedestrian Violation Tickets. Issued by the Transportation and Parking Office. URRS-235	
5.6.009	243	Parking Permits or Assignments	US		US		
5.6	441	Vehicles- Inventory	FE + 3		FE + 3		
5.6	442	Vehicles- Minimum Use Waivers	LA + 1		LA + 1		
5.6	443	Vehicles Request for Transportation	FE + 3		FE + 3		

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

Category 6: Texas Tech Records Section 6.1 – Police Records									
6.1	513	Campus Crime Statistics (Clery Act) Statistics on criminal homicide; sex offenses; robbery; aggravated assault; burglary; motor vehicle theft; arson; and arrests for liquor law violations, drug law violations and illegal weapons possession. Includes crimes occurring on campus, in or on non-campus buildings or property, and on public property as defined by 34 CFR, Section 668.46(a).	7		7		20 USC, Section 1092(f) and 34 CFR, Section 668.46 (The Clery Act)		
6.1	491	Campus Crime Report (Clery Act)	PM		PM		20 USC, Section 1092(f) and 34 CFR, Section 668.46 (The Clery Act).		
6.1	258	Police - Accident Records	3		3		Lubbock Municipal Records Manual Item 10.08.		
6.1	259	Police - Arrest/Criminal History Records (Adults)	75		75		Arrest reports must be retained 75 years or until the date of death of the individual, if known, for felonies and misdemeanors not punishable by fine only.		
6.1	460	Police - Arrest/Criminal History Records (Adults)	6 months		6 months		Arrest reports for Class C misdemeanors must be retained 6 months.		
6.1	260	Police - Arrest/Criminal History Records (Juvenile)	AC		AC		AC = Until court ordered expunction or the 25th birthday of the individual. Lubbock Municipal Records Manual Item 10.2.		
6.1	261	Police - Communication Logs/Tapes	30 days		30 days		Lubbock Municipal Records Manual Item 10.09.		

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



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2. Agency Code	768	3. Agency Name	Texas Tech University System						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks	9. Remarks		
6.1	262	Police - Complaint Cards Records of investigation of law enforcement shooting incidents which result in death or injury to any person, including a police officer.	PM		PM		Local Retention Schedule for Records of Public Safety Agencies Item PS4075-01a.		
6.1	469	Police - Complaint Cards Records of investigations that result in sustained formal discipline.	15		15		Local Retention Schedule for Records of Public Safety Agencies Item PS4075-01b.		
6.1	470	Police - Complaint Cards Records of investigations that result in sustained informal discipline or of investigations whose findings are inconclusive.	AC + 5		AC + 5		AC = Retain 5 years, provided a 1 year infraction free period precedes the date of destruction. Local Retention Schedule for Records of Public Safety Agencies Item PS4075-01c.		
6.1	471	Police - Complaint Cards Records of investigations whose findings are not sustained, unfounded, or exonerated.	3		3		Local Retention Schedule for Records of Public Safety Agencies Item PS4075-01d.		
6.1	472	Police - Complaint Cards Written complaints and records of oral complaints received from the public concerning the conduct of law enforcement officers, fire department personnel, and emergency medical personnel that do not lead to an internal affairs investigation.	AC + 2		AC + 2		AC = Determination not to initiate an internal affairs investigation. Local Retention Schedule for Records of Public Safety Agencies Item PS4075-01e.		

Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – (as long as) Administrative Value	I – Transfer to University Archives O – Review by University Archivist
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PM – Permanent	



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

6.1	263	<p>Police - Criminal Offense Records Cases in which an arrest is made or a citation issued and a law enforcement agency has certain knowledge of the pretrial or adjudicated disposition of an arrested or cited person and considers the case to have been cleared by the conviction or acquittal of the person arrested or cited, by the dismissal of charges against the person, or by the entry on the record of a court by a prosecuting attorney of a nolle prosequi.</p> <p>(1) Class C misdemeanors and unclassified violations of state law or local ordinance punishable by fine only (including arrest reports and citations).</p>	6 months		6 months	<p>CAUTION: a) Retention periods date from date of arrest or citation and are based on the highest classification of offense for which a person is arrested and charged or, if applicable, the highest classification of offense for which a person is tried, whichever the lesser classification. b) Copies of documents in offense investigation records the originals of which are maintained by, filed with, or returned to a court or another state or local law enforcement agency need be retained only as long as administratively valuable. Exceptions are copies of notices or other process that provide certain knowledge to the law enforcement agency of the pretrial or adjudicated disposition of a case. Local Retention Schedule for Records of Public Safety Agencies Item PS4125-05b.</p>	
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Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Transfer to University Archives	
AV – (as long as) Administrative Value	FE – Fiscal Year End		US – Until Superseded	O – Review by University Archivist	



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2. Agency Code	768	3. Agency Name					Texas Tech University System				
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			Agency	Storage	Total	9. Remarks					

6.1	546	<p>Police - Criminal Offense Records Cases in which an arrest is made or a citation issued and a law enforcement agency has certain knowledge of the pretrial or adjudicated disposition of an arrested or cited person and considers the case to have been cleared by the conviction or acquittal of the person arrested or cited, by the dismissal of charges against the person, or by the entry on the record of a court by a prosecuting attorney of a nolle prosequi.</p> <p>(2) Class A and B misdemeanors and state jail felonies.</p>	2		2	<p>CAUTION: a) Retention periods date from date of arrest or citation and are based on the highest classification of offense for which a person is arrested and charged or, if applicable, the highest classification of offense for which a person is tried, whichever the lesser classification.</p> <p>b) Copies of documents in offense investigation records the originals of which are maintained by, filed with, or returned to a court or another state or local law enforcement agency need be retained only as long as administratively valuable. Exceptions are copies of notices or other process that provide certain knowledge to the law enforcement agency of the pretrial or adjudicated disposition of a case.</p> <p>Local Retention Schedule for Records of Public Safety Agencies Item PS4125-05b.</p>		
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Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Transfer to University Archives	O – Review by University Archivist
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			Agency	Storage	Total	9. Remarks	9. Remarks				

6.1	547	<p>Police - Criminal Offense Records Cases in which an arrest is made or a citation issued and a law enforcement agency has certain knowledge of the pretrial or adjudicated disposition of an arrested or cited person and considers the case to have been cleared by the conviction or acquittal of the person arrested or cited, by the dismissal of charges against the person, or by the entry on the record of a court by a prosecuting attorney of a nolle prosequi.</p> <p>(3) Second and third-degree felonies.</p>	10			10	<p>CAUTION: a) Retention periods date from date of arrest or citation and are based on the highest classification of offense for which a person is arrested and charged or, if applicable, the highest classification of offense for which a person is tried, whichever the lesser classification.</p> <p>b) Copies of documents in offense investigation records the originals of which are maintained by, filed with, or returned to a court or another state or local law enforcement agency need be retained only as long as administratively valuable. Exceptions are copies of notices or other process that provide certain knowledge to the law enforcement agency of the pretrial or adjudicated disposition of a case.</p> <p>Local Retention Schedule for Records of Public Safety Agencies Item PS4125-05b.</p>	
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Retention Codes (Field 7)				Archival Codes (Field 8)				
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Transfer to University Archives	O – Review by University Archivist	AV – (as long as) Administrative Value	FE – Fiscal Year End	US – Until Superseded



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			Agency	Storage	Total	9. Remarks		

6.1	548	<p>Police - Criminal Offense Records Cases in which an arrest is made or a citation issued and a law enforcement agency has certain knowledge of the pretrial or adjudicated disposition of an arrested or cited person and considers the case to have been cleared by the conviction or acquittal of the person arrested or cited, by the dismissal of charges against the person, or by the entry on the record of a court by a prosecuting attorney of a nolle prosequi.</p> <p>(4) First-degree and capital felonies.</p>	50		50	<p>CAUTION: a) Retention periods date from date of arrest or citation and are based on the highest classification of offense for which a person is arrested and charged or, if applicable, the highest classification of offense for which a person is tried, whichever the lesser classification.</p> <p>b) Copies of documents in offense investigation records the originals of which are maintained by, filed with, or returned to a court or another state or local law enforcement agency need be retained only as long as administratively valuable. Exceptions are copies of notices or other process that provide certain knowledge to the law enforcement agency of the pretrial or adjudicated disposition of a case.</p> <p>Local Retention Schedule for Records of Public Safety Agencies Item PS4125-05b.</p>
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Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – (as long as) Administrative Value	I – Transfer to University Archives O – Review by University Archivist
CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset PM – Permanent US – Until Superseded



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			Agency	Storage	Total	9. Remarks		

6.1	549	Police - Criminal Offense Records Cases in which an arrest is made or a citation issued and a law enforcement agency has certain knowledge of the pretrial or adjudicated disposition of an arrested or cited person and considers the case to have been cleared by the conviction or acquittal of the person arrested or cited, by the dismissal of charges against the person, or by the entry on the record of a court by a prosecuting attorney of a nolle prosequi. (5) Driving while intoxicated offenses.	10		10	CAUTION: a) Retention periods date from date of arrest or citation and are based on the highest classification of offense for which a person is arrested and charged or, if applicable, the highest classification of offense for which a person is tried, whichever the lesser classification. b) Copies of documents in offense investigation records the originals of which are maintained by, filed with, or returned to a court or another state or local law enforcement agency need be retained only as long as administratively valuable. Exceptions are copies of notices or other process that provide certain knowledge to the law enforcement agency of the pretrial or adjudicated disposition of a case. Local Retention Schedule for Records of Public Safety Agencies Item PS4125-05b.
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Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – (as long as) Administrative Value	I – Transfer to University Archives O – Review by University Archivist
CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset PM – Permanent US – Until Superseded



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			Agency	Storage	Total	9. Remarks		

6.1	550	Police - Criminal Offense Records Cases in which an arrest is made or a citation issued and a law enforcement agency has certain knowledge of the pretrial or adjudicated disposition of an arrested or cited person and considers the case to have been cleared by the conviction or acquittal of the person arrested or cited, by the dismissal of charges against the person, or by the entry on the record of a court by a prosecuting attorney of a nolle prosequi. (6) Or, for any classification of offense.	AC		AC	AC = Date of death of individual, if known. CAUTION: a) Retention periods date from date of arrest or citation and are based on the highest classification of offense for which a person is arrested and charged or, if applicable, the highest classification of offense for which a person is tried, whichever the lesser classification. b) Copies of documents in offense investigation records the originals of which are maintained by, filed with, or returned to a court or another state or local law enforcement agency need be retained only as long as administratively valuable. Exceptions are copies of notices or other process that provide certain knowledge to the law enforcement agency of the pretrial or adjudicated disposition of a case. Local Retention Schedule for Records of Public Safety Agencies Item PS4125-05b.	
6.1	264	Police - Field Interrogation Cards	1		1	Lubbock Municipal Records Manual Item 10.07.	
6.1	265	Police - Gun Check In Records	AV		AV		
6.1	266	Police - Incident Reports	5		5	Lubbock Municipal Records Manual Item 10.06.	
6.1	267	Police - Officer Call Activity Logs Daily activity log posted on the Police Department's website and maintained on its servers.	1		1	Local Retention Schedule for Records of Public Safety Agencies Item PS4025-01a.	

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

6.1	268	Police - Property Records (Lost and Found)	AC + 3		AC + 3	AC = Return or disposal of property. Lubbock Municipal Records Manual Item 10.24.
6.1	269	Police - Statistical Reports Files- Annual	PM		PM	
6.1	270	Police - Statistical Reports Files- Monthly	3		3	Local Retention Schedule for Records of Public Safety Agencies Item PS4025-01b
6.1	271	Police - Tickets	5		5	

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



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

Category 6: Texas Tech Records Section 6.2 – Archives, Library & Museum									
6.2	6	Accession, Preservation and Deaccessioning Records - Archives, Library & Museum	PM		PM	O			
6.2	49	Bindery Lists	FE + 3		FE + 3				
6.2	492	Collection or Artifact Loan Records – Incoming Loan Artifact and material loans contracted between units of the institution or between the institution and either other institutions or individuals. These records include: 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 + 4		AC + 4		AC = Acceptance of return of items per contract terms. If the loan records are found to possess continuing reference or administrative value they can be transferred to the proper donor/accession file within the repository.		

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



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2. Agency Code 768		3. Agency Name Texas Tech University System							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			
6.2	533	Collection or Artifact Loan Records – Outgoing Loan Artifact and material loans contracted between units of the institution or between the institution and either other institutions or individuals. These records include: 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.	PM		PM				
6.2	531	Equipment Checkout Records Records documenting the physical control of the library’s lending program for equipment to individual borrowers.	FE + 3		FE + 3		Retain contract life of asset.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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AV – (as long as) Administrative Value	FE – Fiscal Year End		US – Until Superseded	O – Review by University Archivist			



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2. Agency Code 768		3. Agency Name Texas Tech University System							
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			Agency	Storage	Total	9. Remarks			
6.2	517	Exhibition Records Documents the display and use of artifacts and materials held by the collection units or displays created by the units. This series may include but is not limited to: research materials concerning the cultural environmental setting surrounding the artifacts; bibliographies; artifact labels; exhibit scheduling and transport information; contracts and agreements; evaluation forms; condition forms; exhibit assembly and presentation instructions; and related documentation and correspondence.	AC + 7		AC + 7	AC = Conclusion of exhibit. The curator may elect to keep certain parts of the exhibit records longer for research and teaching purposes. URRS-212			

Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Transfer to University Archives	
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			Agency	Storage	Total	9. Remarks		

6.2	534	Exhibition Records – Incoming Traveling Exhibits Documents the display and use of materials on temporary loan. This series may include but is not limited to: research materials concerning the cultural environmental setting surrounding the artifacts; bibliographies; artifact labels; exhibit scheduling and transport information; contracts and agreements; evaluation forms; condition forms; exhibit assembly and presentation instructions; and related documentation and correspondence.	AC +7		AC + 7	AC = Conclusion of exhibit. The curator may elect to keep certain parts of the exhibit records longer for research and teaching purposes. URRS-212	
6.2	493	Library Catalog	US		US		
6.2	195	Library - Circulation Records	AC		AC	AC = Transaction is completed.	
6.2	516	Library - Courtesy Borrower Records Application forms for guest borrowers of library materials.	AC		AC	AC = Expiration of borrowing privileges and clearing of fines.	
6.2	196	Library - Interlibrary Loan Lending (ILL) Request	AC + 3		AC + 3	AC = Approval or denial of request.	
6.2	198	Library - Interlibrary Loan Lending (ILL) Search Requests	FE + 3		FE + 3		
6.2	199	Library Course Materials	US		US		

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

6.2	496	Library Materials Control Records Documents the receipt and payment history for serials purchased by the libraries, as well as including serials data input work form sheets; database reports; item records; and related documentation.	5		5			
6.2	519	Online Exhibits - Digital Files and Webpages	AC		AC	AC = Until purpose has been fulfilled and no longer needed.		
6.2	494	Permission History Files Records of the archives and museum granting (or denying) permission to reproduce images of items in the collection. Includes image permission forms and correspondence requesting permission to publish images from archival collections.	AV		AV	URRS-205		
6.2	502	Pull Slips Tracks patron requests for archival materials in the archives and the return of the items to their appropriate storage location.	5		5			
6.2	503	Reading Room Registration Forms Patron registration forms filled out annually by researchers to gain access to the reading room of the Southwest Collection/Special Collections Library to view archival materials.	7		7			

Retention Codes (Field 7)				Archival Codes (Field 8)			
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			Agency	Storage	Total	9. Remarks		
6.2	495	Reference Request Records Scholarly requests for information about or access to items within the institution's collections, including contact information, correspondence and related documentation.	4		4		URSS-206	

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

Category 6: Texas Tech Records Section 6.3 – Academic and Miscellaneous TTU Records							
6.3	1	Academic Calendars	5		5	O	
6.3	12	Accreditation Records Documents the accreditation process for the colleges, units, and related programs. Includes statistical data; working papers; and related documentation and correspondence.	FE + 10		FE + 10		Records kept according to accrediting organization's requirement.
6.3	13	Accreditation Records – Final Reports	PM		PM	O	

Retention Codes (Field 7)	Archival Codes (Field 8)
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PM – Permanent	



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			Agency	Storage	Total	9. Remarks		
6.3	23	Alumni files Documents the activities of an institution or department's alumni and may also provide alumni offices with information on alumni. May include but is not limited to: memberships lists with names, addresses, employer names and addresses, and positions; minutes, by-laws and directories of clubs in many communities and several major cities throughout the United States; promotional materials concerning annual gatherings; homecoming plans and programs; data cards and files for individual alumni; degree recipient lists; outstanding alumni lists; foreign student rosters; international alumni club records; and notes, memoranda, and related correspondence concerning general alumni affairs.	AV		AV	I	Refer to 5.1.004 (Mail and Telecommunications Lists) for records used exclusively for contacting alumni. URRS-39	
6.3	467	Athletic Eligibility Records Academic progress reports used to provide a record of verification by intercollegiate athletics of student athletes' academic progress to the NCAA or NAIA.	AC +10		AC + 10		URRS-337	

Retention Codes (Field 7)				Archival Codes (Field 8)			
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			Agency	Storage	Total	9. Remarks		
6.3	569	Athletic Scholarship and Grant-In-Aid Award Records - All records except NCAA This series is used to provide athletic departments with information pertaining to player eligibility and receipt of financial aid in the form of scholarships including grant-in-aid scholarships, to monitor accounts, and to assist in complying with NAIA and conference rules and regulations. These records include: squad lists which furnish summary information; conference eligibility reports; team roster update sheets; scholarship count sheets showing who is on the schedule to receive aid; applications; nominee lists; eligibility questionnaires; eligibility reports which determine years of eligibility unused; credit voucher request sheets notes; and related documentation and correspondence.	5		5		URRS-160	

Retention Codes (Field 7)				Archival Codes (Field 8)			
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AV – (as long as) Administrative Value	FE – Fiscal Year End		US – Until Superseded	O – Review by University Archivist			



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			Agency	Storage	Total	9. Remarks		

6.3	568	Athletic Scholarship and Grant-In-Aid Award Records - NCAA Records This series is used to provide athletic departments with information pertaining to player eligibility and receipt of financial aid in the form of scholarships including grant-in-aid scholarships, to monitor accounts, and to assist in complying with NCAA, and conference rules and regulations. These records include: squad lists which furnish summary information; conference eligibility reports; team roster update sheets; scholarship count sheets showing who is on the schedule to receive aid; applications; nominee lists; eligibility questionnaires; eligibility reports which determine years of eligibility unused; credit voucher request sheets notes; and related documentation and correspondence.	10		10		URRS-161	
6.3	32	Athletics - Conference Records	10		10	I	Agency policy.	
6.3	33	Athletics - Game Films	AV		AV	O		
6.3	39	Audio/Visual Storage List	US		US			
6.3	40	Audio/Visual Software List	US		US			

Retention Codes (Field 7)	Archival Codes (Field 8)
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6.3	544	Award Administration and History Records This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. Includes: eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, and biographies of winners.	AC		AC	AC = Termination of award. Refer to 1.1.019 for press releases. 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. URRS-47
6.3	56	Broadcast / Program Logs	FE + 3		FE + 3	47 CFR 73.1800 and 73.1820.
6.3	514	Child Care Center Records for Individual Child Folder	AC + 3 months		AC + 3 months	AC = Child's last day in care. 40 TAC §746.603(a)(1-7); 40 TAC §746.603(b)(3) Administrative rules of Department of Family and Protective Services: 40 TAC 746.801 (list of records that must be kept at child-care center); 40 TAC 746.803 (retention of child-care center records) - 3 months required for all records listed in 40 TAC 746.801, except for training records for the current director and caregivers, which must be kept "for at least the current and last full training years" (but not included in this record description, as state employee training records must be kept 5 years after termination of employment under RRS 3.1.027).

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6.3	74	Clark Scholars Program - Application Forms	PM		PM			
6.3	75	Clark Scholars Program - High School Transcripts	PM		PM			
6.3	76	Class Roll Summary	5		5			
6.3	77	Class Rolls and Rosters	5		5			
6.3	78	Classes - Schedule Change Requests	AV		AV			
6.3	79	Classes - Course Information, Syllabus and Outlines Documents departmental course offerings and individual course contents. Includes syllabi; course descriptions; course outlines; course summaries; course requests and proposals; curriculum approval lists; lists of classes by term; reading lists; handout materials; and related documentation and correspondence.	2	AV	2 + AV		AV = Until no longer needed for reference by the instructor. CAUTION: Syllabi posted on the University's website must be kept available online for 2 years in accordance with Texas Education Code § 51.974.	
6.3	508	Classroom Scheduling Records	1		1			
6.3	498	Commencement Programs Published commencement ceremony programs.	PM		AC	I	Transfer one copy of the published program to the University Archives. URRS-256	
6.3	566	Commencement Committee Working Files Documents the commencement program planning and implementation at the institution.	AC + 4		AC + 4	O	AC = After the event has been held. URRS-256	

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			Agency	Storage	Total	9. Remarks		
6.3	570	Competition Record - NCAA Reporting Requirements This series provides a summary record of individual games and competitions and is used to comply with NCAA and NAIA reporting requirements for both revenue and non-revenue producing sports. Information on the individual forms includes: sport name; opponent name; date; event location; final score; player names and positions; time played per athlete; and the signature of the head coach or athletic director.	10		10		URRS-334	
6.3	571	Competition Scheduling Records This series documents competition schedules set up with other institutions by coaches and the athletic director. This series may include but is not limited to: correspondence; phone notes; contracts; final schedules; and related documentation and correspondence.	AC + 7		AC + 7		AC = Expiration of contract. URRS-319	
6.3	84	Consent/Release Forms	AC + 3		AC + 3		AC = Expiration of activity. CAUTION: If litigation is involved the form(s) must be kept according to the terms of 1.1.048.	

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			Agency	Storage	Total				
6.3	515	Consent/Release Forms - Child and Youth Program Participant Records This series documents the participation of children and youth in programs sponsored by the institution. The series may include: applications; enrollment records; progress reports and assessments; immunization records; parental consent forms; activity records; lists of attendees; and related correspondence.	AC + 3		AC + 3		AC = Last day of enrollment in the program. CAUTION: If litigation is involved the form(s) must be kept according to the terms of 1.1.048.		
6.3	499	Continuing Education Records Documents course offerings and individual course contents as offered by Continuing Higher Education (also called "extension" classes).	AC + 5		AC + 5		AC = End of the academic term in which the course was offered.		

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			Agency	Storage	Total	9. Remarks		
6.3	536	Continuing Medical Education (CME) and Continuing Nursing Education (CNE) Class Records Documents the administration of and participation in Continuing Medical Education (CME) and Continuing Nursing Education (CNE) training courses or programs and may include but not be limited to: course agendas, descriptions, and syllabi; course outlines and materials; enrollment and attendance records, training requests and authorizations, certificates of completion; and related documentation and correspondence.	6		6		The Accreditation Council for Continuing Medical Education (ACCME) requires records to be kept on file for a minimum of 6 years. URRS-495	
6.3	87	Copyright Information Documentation kept on materials that may have been used for university activity - such as publishing a book by Tech Press - but to which the university does not own the copyrights to and/or may not own the physical item itself.	AC + 10		AC + 10		AC = After activity is completed.	

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			Agency	Storage	Total	9. Remarks		

6.3	88	Copyright Records Documentation kept on materials that were done as “work for hire” (created by employees within the scope of their employment) to which the university owns part or full rights to.	AC	AC	AC = 95 years from the work’s first publication or 120 years from its creation, whichever is shorter. Copyright is automatic and does not have to be registered.
6.3	468	Course Inventory Data Files – Office of Institutional Research Documentation kept by the Office of Institutional Research which is used to track historical information on courses, their credit hours, activity type and other related information.	PM	PM	Agency policy to retain the information permanent.
6.3	95	Dean of Students - Student Information Files	AC + 7	AC + 7	AC = Graduation or withdrawal.
6.3	97	Death Certificates	PM	PM	
6.3	98	Deceased Student Files	AC + 7	AC + 7	AC = Date of notification of death.
6.3	102	Departmental Grants, Financial Assistance, and Stipends Funds provided by a department to cover travel and research costs.	AC + 5	AC + 5	AC = Date of award.
6.3	535	Donor Records - Medical Completed bequeathal forms and cadaver information for people who have donated their bodies, organs and/or other body parts to the university.	PM	PM	

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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	Agency	Storage	Total	9. Remarks		106 No.	Amend. No.
6.3	572	Drug Test Records - Negative Results This series is used to provide the athletic director with a record of the negative results of drug testing done on student athletes. These records include: lab reports; interpretations; and related documentation and correspondence.	2		2	URRS-322			
6.3	573	Drug Test Records - Positive Results This series is used to provide the athletic director with a record of the positive results of drug testing done on student athletes. These records include: lab reports; interpretations; and related documentation and correspondence.	AC + 5		AC + 5	AC = End of eligibility. URRS-323			
6.3	134	Exam Signup Sheets	US + 1		US + 1				
6.3	562	Event Administration Records – Routine Documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; customer evaluations; summary reports; and related correspondence.	AC + 1		AC + 1	AC = Completion of the event. CAUTION: Refer to AIN 563 for records of special events. CAUTION: Use this record series in conjunction with RRS Section 4.1 for financial records, RRS 5.1.001 for written agreements or contracts, and RRS Section 5.3 for purchasing records. URSS-40			

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			Agency	Storage	Total	9. Remarks		
6.3	563	Event Administration Records - University Special Events Documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; customer evaluations; summary reports; and related correspondence.	AC + 4		AC + 4	O	AC = Completion of the event. Refer to AIN 562 for routine event administration records. URRS-42	
6.3	545	External Committee Records This series documents the relationship and participation of institution units in external professional and educational associations and other organizations. The unit's role may be one of membership on the advisory or administrative board, participation in a task force or subcommittee, or one of membership in consortia. This series may include but is not limited to: promotional information; rules and regulations; reports; proposals and planning records; workshop and conference records; surveys and questionnaires; minutes; and related documentation and correspondence.	AC		AC		AC = Termination of service on committee, disbanding of committee, or records of committee no longer administratively valuable to the agency. CAUTION: Refer to 539 (University Committee Records) for meeting records of internal university committees. URRS-24	

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6.3	139	Faculty Handbooks	US		US	O		
6.3	140	Faculty Search Committee Records See Texas Tech OP 32.16 section 2a (5), 2c (5), and 3(a) for the list of items to be retained.	AC + 3		AC + 3		AC = Selection. 29CFR1602.49(a)	
6.3	473	Faculty Search Committee Records - Health Sciences Center See Texas Tech Health Sciences Center OP 60.09 section d (5) for the list of items to be retained.	AC + 5		AC + 5		AC = Selection. 29CFR1602.49(a)	
6.3	141	Faculty Teaching/Workload Reports	5		5			
6.3	142	Faculty Tenure Files Evaluations, recommendations, and similar documentation relating to the review process for promotion and tenure for all faculty or staff in the tenure track.	AC + 5		AC + 5	O	AC = Termination of employment. Not to exceed 20 years. 29 CFR 1602.49 for Promotion and Tenure Records	
6.3	574	Game Arrangement Records This series is used to provide a reference record of arrangements made for and the schedules of past games. This series may include but is not limited to: team practice schedules; team position assignments/depth charts; itineraries; bus lists; notes; and related documentation and correspondence.	AC + 5		AC + 5		AC = End of sport season. URRS-332	

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6.3	575	Game Day Totals This series documents the total ticket sales and concessions, including concession items other than food or drink and NCAA licensed merchandise, for each sporting event.	FE + 3		FE + 3		URRS-311	
6.3	576	Game Officials' Evaluation Forms This series is used to provide a record of the head coach's evaluation of judging officials' performance at individual football 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		1		URRS-331	

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6.3	577	Game Statistics This series documents the practice, playing, and attendance statistics about each game and the season for each sport by playing year. This series may include but is not limited to: player academic statistics; attendance figures; player training charts; season and game player statistics; recruitment records; special teams statistics; rankings; awards information; NAIA and NCAA game statistics; media releases; all-conference nominations; spring and fall camp depth charts; numerical rosters; media guides; narrative reports on games and scrimmages; final team statistics for each game; NAIA and NCAA official scoring summaries; play-by-play written reports; and related documentation and correspondence.	75		75	O	URRS-330		
6.3	578	Game Tickets and Ticket Orders This series documents the sale and purchase of season passes and game day tickets. Records include but are not limited to: extra game tickets, ticket orders, season pass order forms, and ticket stubs.	FE + 3		FE + 3		URRS-309		

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6.3	542	Gift Records – Departmental or Program Documents potential or realized private, corporate, or public agency funding to a department or program, including endowments, trusts, and funds raised by support/"friends" groups. This series comprises award guidelines, memoranda of understanding, records of fund disbursements, and related documentation and correspondence.	7		7	CAUTION: For records of major gifts, refer to Institutional Advancement - Gift Transmittals and Database Records. For donor files, refer to URRS-344 (Donor Files). URSS-75	
6.3	211	Health Sciences Center: Medical Financial Records related to services – Charge, Payment, Refund Batch Documents, Explanation of Benefits (EOBs)	AC + 10		AC + 10	AC = Date of service or until all audit questions, appeal hearings, investigations or court cases are resolved. Medicaid minimum is 5 years, 1TAC 354.1004; Medicaid Managed Care is 10 years 42 CFR 422.504(d)(2).	
6.3	215	Health Sciences Center: Medical – Patient Files/Medical Records	AC + 10		AC + 10	AC = Clinical: Last date of service or the patient’s 21 st birthday, whichever is later; Research: Research purposes/goals fulfilled/contract period ends, whichever is later. Any litigation must be concluded before final disposition. Texas Medical Board minimum is 7 years from the last date of service or the patient’s 21 st birthday, whichever is later. 22 TAC 165; Medicaid Managed Care is 10 years (42 CFR 422.504(d)(2))	

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6.3	454	Health Sciences Center: Medical Records – Hansen’s Disease	PM		PM	Records are of research significance and must be maintained permanently. Texas Department of State Health Services Retention Schedule for Medical Records.	
6.3	455	Health Sciences Center: Master Patient Index	PM		PM	Texas Department of State Health Services Retention Schedule for Medical Records.	
6.3	530	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	AC = Date of release.	
6.3	163	Housing - Lodging Requests	1		1		
6.3	165	Human Sciences - Volunteer Registration Forms	AV		AV		
6.3	166	Human Sciences - Volunteer Station Memoranda of Understanding (contracts)	AC + 4		AC + 4	AC = Termination of employment [contract].	
6.3	167	Human Sciences - Volunteer and Volunteer Stations Information (database)	AV		AV		

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6.3	579	Individual Athletes Records – Confidential This series includes confidential records of the 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. Records may include and may not be limited to: academic major information including performance reports, admissions verification reports, academic transcripts, and financial aid information, recruitment information documents, and related documentation and correspondence. For records relating to the public profile of the athlete, use URRS-326.	AC + 5		AC + 5	AC = Date of separation from the institution. URRS-327	
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6.3	580	Individual Athletes Records - Public Profile This series documents the 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. Records may include and may not be limited to: academic major information including performance reports, admissions verification reports, recruitment information documents, media articles; photographs, release of information forms, personal data questionnaires, records of awards, and related documentation and correspondence. This series does not include confidential records of the athlete, which are held under URRS-327.	PM		PM	O	URRS-326	
6.3	476	Institutional Advancement - Endowment Fund Records	PM		PM		Digital file is the Master and the hardcopy file will be managed by internal policy. See Note 2.	
6.3	150	Institutional Advancement - Fundraising Surveys, Development & Strategic Planning	FE + 7		FE + 7		Central Development determines the document criteria that apply to this record series.	
6.3	153	Institutional Advancement - Gift Receipts	FE + 7		FE + 7		Digital file is the Master. See Note 2.	
6.3	478	Institutional Advancement - Gift Transmittals and Database Records	PM		PM		Digital file is the Master and the hardcopy file will be managed by internal policy. See Note 2.	

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6.3	477	Institutional Advancement - Non-Endowment Fund Records	AC + 4		AC + 4	AC = After close of the fund and all contracts, grants and pledges have been settled, then the file will go inactive for 4 years before departmental review. See Note 2.	
6.3	474	Institutional Advancement- Planned Giving Commitments	AC		AC	AC = Maintain the document files until the deferred gift value is realized and the proceeds transferred to an Endowed or Non-endowed fund.	
6.3	180	Junction Campus - Public Education Information Management System (PEIMS Forms)	5		5	Local Retention Schedule for Records of Public School Districts item SD3600-01.	
6.3	178	Key Requests	AC + 3		AC + 3	AC = After keys are returned or locks changed.	
6.3	181	KTTZ-TV Digital Transition (DT) Files	AC + 10		AC + 10	AC = Life of grant.	

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



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SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 768		3. Agency Name Texas Tech University System						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
6.3	186	KTTZ-TV Emergency Alert System Logs	CE + 2		CE + 2	FCC requirement. 47 CFR 73.1840(a).		
6.3	184	KTTZ-TV Public Inspection Files	AC		AC	AC = Keep until FCC has notified otherwise. 47 CFR 73.3527.		
6.3	185	KTTZ-TV Record and Dub Requests	CE		CE			
6.3	182	KTTZ-TV Tower Analysis/Maintenance	LA		LA			

Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled
 AV – (as long as) Administrative Value

CE – Calendar Year End
 FE – Fiscal Year End

LA – Life of Asset

PM – Permanent
 US – Until Superseded

Archival Codes (Field 8)

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



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

6.3	183	KTTZ-TV Transmitter Logs	CE + 2		CE + 2	FCC requirement. 47 CFR 73.1840(a). CAUTION: It is an exception to the retention period indicated that logs involving communications incident to a disaster or which include communications incident to or involved in an investigation by the FCC and about which the licensee has been notified, shall be retained by the licensee until specifically authorized in writing by the FCC to destroy them. In addition, logs incident to or involved in any claim or complaint of which the licensee has notice shall be retained by the licensee until such claim or complaint has been fully satisfied or until the same has been barred by statute limiting the time for filing of suits upon such claims.	
6.3	521	Laboratory Inspection Records - Equipment Checklists and Laboratory Conditions Records	3		3	42 CFR 493.1105 for Laboratory Records.	
6.3	193	Letters of Reference/Recommendations Miscellaneous letters pertaining to TTU activities unrelated to tenure or enrollment.	1		1	CAUTION: For letters of reference/recommendation related to faculty tenure see Faculty Tenure Files (item #142); for staff see Performance Appraisals (3.1.019); and for student enrollment see Student-Applications (item #344).	

Retention Codes (Field 7)	Archival Codes (Field 8)
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CE – Calendar Year End FE – Fiscal Year End	
LA – Life of Asset	
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

6.3	509	Lecture and Special Lecture Series Records Includes lecture committee notes, memos and planning materials; funding, financial support and honoraria records; patron information; programs and announcements; catering arrangements; news releases; recordings and transcripts; photographs.	AC + 5		AC + 5	O	AC = After lecture is presented.
6.3	194	Liability Release Forms/Records Waivers of liability signed by students and staff of the university.	AC + 4		AC + 4		AC = Expiration of activity. CAUTION: If litigation is involved the form(s) must be kept according to the terms of 1.1.048.
6.3	208	Mass Add/Drop Changes	AC + 1		AC + 1		AC = Changes made. Buckley Amendment, confidential record.
6.3	524	Medical- Patient Logs This series is used to log in patients who visit the student health center (both in-patients and out-patients). It may also be used to create annual census reports and 3-year census comparisons. Log information may include: the date and time that the patient came in; the physician assigned; diagnosis; admission/discharge date; length of stay; and remarks.	3		3		

Retention Codes (Field 7)	Archival Codes (Field 8)
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
6.3	537	Medical Student Rotation Documents / Non-Affiliated Medical Students, Residents and Fellows Documents 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. Records may include but are not limited to: formal request to rotate, CV, criminal background check, drug test, permit to practice medicine, evaluations, and related correspondence. Note: Records for affiliated students are kept with other student records, and records for affiliated residents/fellows are kept with residency records.	AC + 5		AC + 5	AC = Completion of training or date of last attendance. URRS-471		
6.3	226	Northwest Texas Small Business Development Center- Client Files	FE + 3	AV	FE + 3 + AV	Office of origin is responsible for arranging storage.		
6.3	458	Office of Institutional Research - Student Retention Reports and Information	AV		AV			
6.3	459	Office of Institutional Research - Integrated Postsecondary Education Data System (IPEDS) Federal reports submitted to the state.	17	3	20	Agency policy.		

Retention Codes (Field 7)

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US – Until Superseded

Archival Codes (Field 8)

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



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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
6.3	234	Organizational Memberships	1		1			
6.3	235	Orientation Material	US + 1		US + 1		Office of origin retains record copy .	
6.3	237	Outreach and Distance Education [IDEAL Program] - Enrollment records non-credit programs for k-12 children	3		3			
6.3	238	Outreach and Distance Education [IDEAL Program] - Marketing Record Book	5		5			
6.3	239	Outreach and Distance Education [IDEAL Program] - Scholarships for K-12 non-credit activities	5		5			
6.3	525	Pharmacy - Drug Administration Records Inventory and other records of the purchase, acquisition, disposal, or dispensation of drugs as required by federal law and regulations, state law, and the rules of the Texas State Board of Pharmacy.	AC + 2		AC + 2		AC = The later of the date that the record was required to be created, the record was actually created, or the prescription was last filled. CAUTION: By federal regulation, inventories and records of all controlled substances must be maintained separately from all other records of the pharmacy. 21 CFR 1304.04(a); Health and Safety Code, Section 481.067(c); 37 TAC 13.207.	

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

6.3	526	<p>Pharmacy Prescription File Paper prescription slips or electronic prescription records for controlled substances maintained in accordance with federal law and regulations, state law, and the rules of the Texas State Board of Pharmacy.</p>	AC + 2		AC + 2	<p>AC = The later of the date that the record was required to be created, the record was actually created, or the prescription was last filled.</p> <p>CAUTION: By federal regulation, paper prescriptions for Schedule II controlled substances shall be maintained in a separate prescription file. Paper prescriptions for Schedules III, IV, and V controlled substances shall be maintained either in a separate prescription file for Schedules III, IV, and V controlled substances only or in such form that they are readily retrievable from the other prescription records of the pharmacy. Electronic records must be readily retrievable at the registered location if requested by the Drug Enforcement Administration (DEA) or other law enforcement agent. An electronic application storing prescription data must be capable of printing out or transferring the records in a format that is readily understandable to a DEA or other law enforcement agent at the registered location. Electronic copies of prescription records must be sortable by prescriber name, patient name, drug dispensed, and date filled.</p> <p>21 CFR 1304.04; Health and Safety Code, Section 481.075(i)(2); Health and Safety Code, Section 483.023; 37 TAC 13.207</p>
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Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Transfer to University Archives			
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

6.3	538	Photographs, Audiovisual Recordings, and Other Non-Textual Media Documents institution activities, events, students, faculty, and staff.	AV		AV	O	URRS-6	
6.3	581	Play Books This series documents the strategies, practice time and game plays for each game in the season. This series may include but is not limited to: practice plans; game plans; and game results.	5		5		URRS-324	
6.3	582	Practice Schedule Records This series is used to monitor practice time for athletic teams and assist in complying with NCAA, NAIA and conference rules and regulations. This series contains team rosters indicating time spent in: practices; meetings; training and conditioning; and competition.	5		5		URRS-321	
6.3	279	Professional Organizations - Non-Texas Tech Includes handouts, newsletters, brochures, meeting programs and agendas, subscriptions, membership information, etc.	AV		AV		CAUTION: These materials are disposable when no longer needed and should not be sent to the University Archives.	

Retention Codes (Field 7) AC – After Closed, Terminated, Completed, Expired, Settled AV – (as long as) Administrative Value CE – Calendar Year End FE – Fiscal Year End	Archival Codes (Field 8) I – Transfer to University Archives O – Review by University Archivist
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

6.3	280	Professional Organizations - Texas Tech Includes handouts, newsletters, brochures, meeting programs and agendas, subscriptions, membership information, etc.	AV		AV	O		
6.3	583	Recruiting Records – Athletics This series documents the recruitment of athletes into the institution's intercollegiate athletics program. The series also provides a record of the recruitment process for prospective players created by the institution to comply with NCAA, 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 (with By-Law 5-1-j forms, number 40-c); letters of intent; copies of admissions forms and materials; performance reports; telephone and conversation notes; mailing lists; and related documentation and correspondence.	AC + 5		AC + 5		AC = End of eligibility. URRS-320	

Retention Codes (Field 7) AC – After Closed, Terminated, Completed, Expired, Settled AV – (as long as) Administrative Value CE – Calendar Year End FE – Fiscal Year End	Archival Codes (Field 8) I – Transfer to University Archives O – Review by University Archivist
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			Agency	Storage	Total			
6.3	584	Sports Merchandising Records This series documents the sale of institutional and NCAA or NAIA-licensed merchandise at sporting events. Records may include: sales reports; merchandise comment sheets; and related correspondence.	FE + 3		FE + 3	URRS-318		
6.3	585	Student Athlete Insurance Records - Collegiate Insurance This series documents medical treatment services rendered off campus for practice or playing related injuries or illnesses which are eligible for partial payment by intercollegiate athletic insurance. This series may include but is not limited to: copies of policies; accident reports; annual insurance questionnaires; notes; claim forms; negotiations correspondence; payment of insurance records; and related documentation and correspondence.	AC + 7		AC + 7	AC = Last date on which service was given or until the patient's 21st birthday, whichever later. URRS-325		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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AV – (as long as) Administrative Value	FE – Fiscal Year End		US – Until Superseded	O – Review by University Archivist			



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			Agency	Storage	Total	9. Remarks		

6.3	586	Student Athlete Insurance Records - Secondary Coverage Insurance This series documents the verification and payment of secondary coverage insurance claims of injured student athletes. This series may include but is not limited to: lists of requests for claims payment; transmittal letters for reimbursement of the institution; proof of loss forms; intercollegiate athletic reports; ledgers of providers, payment amounts, and reference numbers; and related documentation and correspondence.	AC + 7		AC + 7	AC = Claim settled. URRS-335		
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Retention Codes (Field 7) AC – After Closed, Terminated, Completed, Expired, Settled AV – (as long as) Administrative Value CE – Calendar Year End FE – Fiscal Year End	Archival Codes (Field 8) I – Transfer to University Archives O – Review by University Archivist
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2. Agency Code	768	3. Agency Name Texas Tech University System						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

6.3	587	Student Athletes Academic Advising Records This series documents academic advising of prospective and current student athletes, provides records of academic progress while students are involved in athletic programs at the institution, and complies with NCAA, NAIA and conference reporting requirements. These records include: letters of intent; renewals of letters of intent; transcripts; grade reports; petitions; academic evaluations; advanced standing reports; advisors' report sheets showing progress towards academic degree; program planning sheets; NCAA Progress Reports; students' requests for release from athletic programs; disciplinary memoranda; and related correspondence.	AC + 5		AC + 5	AC = Degree completed or date of last enrollment. URRS-317	
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Retention Codes (Field 7)				Archival Codes (Field 8)			
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2. Agency Code	768	3. Agency Name Texas Tech University System						
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			Agency	Storage	Total	9. Remarks		

6.3	588	Student Athletes Medical Records This series documents the medical history of each athlete before and during his/her attendance at the institution. This series may include but is not limited to: annual health appraisals; authorization to release information forms; treatment consent forms; assumption of risk forms; accident reports; X-rays and X-ray reports; prescription records; off campus treatment source records; insurance questionnaires; psychological counseling records; and related documentation and correspondence.	AC + 7		AC + 7	AC = Last date on which service was given or until the patient's 21st birthday, whichever later. URRS-315	
6.3	290	Questionnaires and Surveys Logs or sign-in sheets for meetings, conferences and special events	AV		AV		
6.3	302	Registration Logs and Rosters Logs or sign-in sheets for meetings, conferences and special events	AV		AV		
6.3	543	Short Term Loan Agreements	AC + 7		AC + 7	AC = After graduation or non-attendance.	
6.3	335	Student Affairs - Student Services Fees Request	FE + 3		FE + 3		
6.3	415	Surveillance/Security Tapes	AC + 6 months		AC + 6 months	AC = After date recorded.	
6.3	417	Tape, Audio - Music Performance Recordings	AV		AV	O	
6.3	418	Tape, Audio - Presentation, Recruitment, etc.	AV		AV	O	

Retention Codes (Field 7)

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Archival Codes (Field 8)

I – Transfer to University Archives
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			Agency	Storage	Total	9. Remarks		

6.3	419	Tape, Video - Broadcasts and Teleconferencing	AV		AV	O	
6.3	420	Tape, Video - Presentation, Recruitment, etc.	AV		AV	O	
6.3	421	Tape, Video - Teleconferencing Files	AV		AV		
6.3	422	Teleconference Information	AV		AV		
6.3	425	Textbook Adoption Records	3		3		
6.3	541	Ticket Sales and Event Cash Reconciliation Records – Athletics Documents the printing, selling, distribution, and accounting of tickets for university-sponsored athletic events where tickets are sold for admission.	FE + 5		FE + 5		CAUTION: Records should be kept in compliance with NCAA or NAIA requirements, as applicable. Refer to URRS-71 for ticket sales and reconciliation records for non-athletic events. URRS-346
6.3	540	Ticket Sales Records – Other Documents the printing, selling, distribution, and accounting of tickets for university-sponsored performing arts and other non-athletic events where tickets are sold for admission.	FE + 3		FE + 3		URRS-71

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			Agency	Storage	Total	9. Remarks		
6.3	539	University Committee Records Documents the activities of standing and ad hoc committees and councils made up of members from a variety of units. The committees are charged with formulating and recommending institutional policies and procedures, establishing standards and requirements, performing an advisory function, or reviewing petitions, appeals, and deviations from policy.	3		3	O	CAUTION: Federal or state regulations may require longer retention periods (for example, radiation committee meeting records must be retained permanently). The university must consider any applicable federal or state regulations in establishing a retention period for each committee's records. URRS-23	
6.3	444	Vice-President for Research - Federal Initiatives (Redbook) Information compiled for use for legislative initiatives	AV		AV			

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

Category 6: Texas Tech Records Section 6.4 – Research and Patent Records							
6.4	505	Animal Breeding and Management Records Records relating to the care, management, and breeding of animals for research and teaching purposes.	AC		AC	AC = Death of animal or transfer to another institution.	
6.4	24	Animals - Research/Laboratory Records	AC + 4		AC + 4	AC = End of project. 9 CFR 2.35	
6.4	125	Equipment and Dyeing Formulas - International Textile Center	PM		PM		
6.4	506	Institutional Animal Care and Use Committee (IACUC) Records Includes records of attendance, actions of the committee, requests for approval to use animals in a research project made by the principal investigators, subsequent actions on the requests, and semiannual reports.	AC + 3		AC + 3	AC = Completion of research. 9 CFR 2.35	
6.4	507	Institutional Animal Care and Use Committee (IACUC) Meeting Minutes and Agendas	3		3	9 CFR 2.35	

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			Agency	Storage	Total	9. Remarks		

6.4	244	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. This series may include but is not limited to: patent applications; agreements giving permission for institutional researchers to use other patented inventions in their research; and related documentation and correspondence. The series may also include: 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		7	O	URRS-276	
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Retention Codes (Field 7)				Archival Codes (Field 8)			
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AV – (as long as) Administrative Value	FE – Fiscal Year End						



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			Agency	Storage	Total	9. Remarks			
6.4	556	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. This series includes: original patents; international licensing agreements; and invention disclosure forms that list the names of the inventors and to whom the inventions have been disclosed.	PM		PM	O	URRS-277		
6.4	281	Project Information and Contracts - International Textile Center	AC + 7		AC + 7		AC = Project completion.		
6.4	312	Research Applications	AC + 3		AC + 3	O	AC = Approval or rejection of application.		
6.4	313	Research Data	PM		PM		Confidential until published.		
6.4	314	Research Data - Raw	AC + 3		AC + 3		AC = Completion of project.		
6.4	315	Institutional Review Board (IRB) Records – Human Subjects	AC + 3		AC + 3		AC = Completion of project. 45 CFR 46.115(b).		
6.4	316	Research Specimens - Non-Animal Research/Laboratory Records	AC + 3		AC + 3		AC = Completion of project.		

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Category 6: Texas Tech Records Section 6.5 – Student Records									
6.5	336	4th and 12th Class Day Reports	5		5			Buckley Amendment, Confidential record.	
6.5	2	Academic Testing Services - ACCUPLACER Applications and Scores [Master copies]	PM		PM			Buckley Amendment, Confidential record.	
6.5	3	Academic Testing Services - American College Test (ACT) Residual Applications and Scores [Master copies]	PM		PM			Buckley Amendment, Confidential record.	
6.5	4	Academic Testing Services - College-Level Examination Program (CLEP) Score Rosters [Master copies]	PM		PM			Buckley Amendment, Confidential record.	
6.5	5	Academic Testing Services - Student Exam Scores and Reports (Internal) for Admission and Placement Applies to exams, applications for exams, and related materials administered and monitored by Academic Testing Services. Includes CLEP, correspondence applications, ACT Residual Applications and Scores, and Quick TASP/Quick THEA Applications.	AC + 5		AC + 5			AC = Testing Date. Buckley Amendment, Confidential record.	
6.5	337	Academic Records – College/Departmental Student Files	AC + 5		AC + 5			AC = Graduation or date of last attendance. Buckley Amendment, Confidential record.	
6.5	338	Academic Records – Registrar’s Files	PM		PM			Buckley Amendment, Confidential record.	

Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled
AV – (as long as) Administrative Value

CE – Calendar Year End
FE – Fiscal Year End

LA – Life of Asset

PM – Permanent
US – Until Superseded

Archival Codes (Field 8)

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



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6.5	339	Academic Status Reports Documents student academic standing, including academic deficiency and the status changes of academically deficient students.	PM		PM		Buckley Amendment, Confidential record.	
6.5	340	Academic Suspension Waiver	PM		PM		Buckley Amendment, Confidential record.	
6.5	341	Add/Drop Class Records	AC + 5		AC + 5		AC = Graduation or date of last attendance. Buckley Amendment, Confidential record.	
6.5	342	Academic Advisement Records Records of academic advisement to students. May include advisors' notes, advising checklists, and convenience copies of grade records maintained by registrars.	AC + 5		AC + 5		AC = Graduation or date of last attendance.	
6.5	343	Applications for Admissions-Enrolled/accepted Includes transcripts, acceptance letters, advanced placement records, applications for admission, correspondence, entrance examination reports, letters of recommendation, medical records, placement scores, readmission forms, and test scores.	AC + 5		AC + 5		AC = Graduation or date of last attendance. Buckley Amendment, Confidential record. (Students may have access to admissions comments).	

Retention Codes (Field 7)				Archival Codes (Field 8)			
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6.5	344	Applications for Admissions- Not enrolled and/or rejected Includes transcripts, acceptance letters, advanced placement records, applications for admission, correspondence, entrance examination reports, letters of recommendation, medical records, placement scores, readmission forms, and test scores.	AC + 1		AC + 1	AC = Beginning of semester of application. Buckley Amendment, Confidential record. (Students may have access to admissions comments).	
6.5	345	Applications for Admissions- Not enrolled and/or rejected - Health Sciences Center	AC + 3		AC + 3	AC = Beginning of semester of application. Buckley Amendment, Confidential record. (Students may have access to admissions comments).	
6.5	347	Athletic Eligibility Records	AC + 1		AC + 1	AC = After certification. Buckley Amendment, Confidential record.	
6.5	348	Athletic Player Files	AC + 3		AC + 3	O AC = Graduation or last day of attendance.	
6.5	349	Attendance Records	1	4	5	Buckley Amendment, Confidential record. Office of origin is responsible for arranging storage.	
6.5	350	Authority to Inspect Records	AV		AV		

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6.5	558	Award Selection Records This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards based on merit or achievement. The series may include but is not limited to: applications; nomination letters; recommendations; transcripts; letters of award notification or denial; letters accepting or declining awards; demonstration of need documentation; vote tallies; ranking sheets; and related documentation and correspondence.	2		2	CAUTION: This records series documents the process of selecting an individual to receive an award. A record of an employee's receiving an award, incentive, or tenure should be classified under RRS item number 3.1.037. URRS-48	
6.5	351	Change of Status Forms	AC + 5		AC + 5	AC = Graduation or date of last attendance.	
6.5	352	Class Roll Summary	1	4	5	Office of origin is responsible for arranging storage.	
6.5	353	Class Schedules - Preparation Records	1	4	5	Office of origin is responsible for arranging storage.	
6.5	497	Class Schedules and Catalogs Official schedule of classes and descriptions of courses offered.	PM		PM	I	
6.5	480	Class Schedules – Students Listing of the classes registered for by an individual student for a particular semester.	AC+1		AC+1	AC = After graduation or non-attendance.	
6.5	354	Comprehensive Exams	AV		AV		
6.5	355	Counseling Notes	AC + 7		AC + 7	AC = After last session attended. 22 TAC § 681.41(q) and 22 TAC § 465.22(d)	

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6.5	356	Course Equivalencies	US + 1		US + 1			
6.5	359	Curriculum Change Records Documents student requests to change their field of study.	AC + 5		AC + 5		AC = After graduation or non-attendance.	
6.5	360	Data Sheets	AC		AC		AC = Graduation or date of last attendance.	
6.5	361	Degree Audit and Application for Graduation Records Documents student completion of degree requirements, including authorizations certifying completion of degree requirements. The series may include official graduation audit forms that list students' names; colleges; majors; degrees; minors; the breakdown of institutional degree requirements and how the applicants have fulfilled them; grade point averages; and deans' recommendations/comments and signatures.	AC + 5		AC + 5		AC = Graduation or date of last attendance. Buckley Amendment, Confidential record. AACRAO guidelines.	
6.5	362	Degree Plans	PM		PM		Buckley Amendment, Confidential record.	

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6.5	500	Degree Program and Course Proposal Files Documents planning and discussions related to the implementation of new undergraduate and advanced degree programs and any major reorganization or changes to established programs. Includes final reports; curriculum committee meeting minutes; curriculum proposals; and reviews of individual degree programs by campus and off-campus sources.	PM		PM	I	Curriculum development files should be kept 5 years. JC 3900-01.	
6.5	358	Degree Program and Course Proposal - Working Files Documents planning and discussions related to the implementation of new undergraduate and advanced degree programs and any major reorganization or changes to established programs Includes the working papers; letters of support; review agendas; faculty status reports; and related documentation and correspondence.	5		5		Curriculum development files should be kept 5 years. JC 3900-01.	
6.5	363	Disciplinary Records Documents actions taken by the institution against a student, including expulsion and suspension.	AC + 7		AC + 7		AC = Graduation or withdrawal. Buckley Amendment, Confidential record.	

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			Agency	Storage	Total	9. Remarks			

6.5	364	Enrollment Statistics – Final Reports Annual statistical reports of enrollment, grades, graduates, racial/ethnic composition, student instructor ratios, and other education-related matters submitted to the governing body, state or federal agencies, or accrediting organizations.	PM		PM	I	Retention period based on AACRAO guidelines for enrollment statistics.
6.5	557	Enrollment Statistics – Working Files Annual statistical reports of enrollment, grades, graduates, racial/ethnic composition, student instructor ratios, and other education-related matters submitted to the governing body, state or federal agencies, or accrediting organizations.	5		5	I	Retention period based on AACRAO guidelines for enrollment statistics.
6.5	365	Enrollment Verification	AC + 1		AC + 1		AC = Verification. Buckley Amendment, Confidential record. However, student directory information which includes names, on-campus address, D.O.B. and major is public information.
6.5	366	Evaluations of Course Instructor	6		6		Texas Tech's Operating Policy 32.32 paragraph 3(c).
6.5	367	Evaluations of Course Instructor Reports	6		6		
6.5	368	Exam Make Up Request	2		2		
6.5	369	Exam Scantrons & Reports	1		1		
6.5	370	Excused Absence Requests	1		1		

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6.5	483	Faculty/Instructor Grade Books Per the TTU <i>Faculty Handbook</i> , grade records should be kept for at least four calendar years and are defined as “grade books, computer and non-computer-generated grade sheets, and other such materials that permit a reconstruction of a student’s graded performance in a course.”	AC + 4		AC + 4	AC = Close of semester. See also Student Papers, Class Examinations, and Tests Completed as Part of Course Work.
6.5	481	Family Educational Rights and Privacy Act (FERPA) Documents Student information release requests and consent authorizations or denials in accordance with the Family Educational Rights and Privacy Act. Includes requests for nondisclosure of directory information; requests for release of personally identifiable information; records of disclosures made to third parties; requests for formal hearings; student statements regarding hearing panel decisions; written consent of the student to disclose records; waivers for rights of access; and related documentation and correspondence.	AC + 1		AC + 1	AC = Life of the affected record or until student terminates waiver for written consent of the student to disclose records and waivers for rights of access.

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6.5	484	Fee Assessment and Collection Records Records evidencing the assessment and collection of tuition and fees charged to and collected from each student.	AC + 5		AC + 5	AC = After graduation or non-attendance.	
6.5	504	Graduation – Diploma Administration Records Includes records of diplomas picked up in person, mailed, and returned.	AC + 1		AC + 1	AC = Request fulfilled.	
6.5	501	Grievance/Complaint by Student Pertains to discriminatory harassment related issues. Does not pertain to grade or FERPA disputes.	AC + 7		AC + 7	AC = Closure of grievance. Based on AACRAO guidelines.	
6.5	374	Grade Changes Documents grade changes submitted by instructors through the academic departments to the Registrar.	AC + 2		AC + 2	AC = End of semester. Buckley Amendment, Confidential record. Retention period based on AACRAO guidelines.	
6.5	561	Grade Changes - Registrar's Copy Documents grade changes submitted by instructors through the academic departments to the Registrar.	PM		PM	Buckley Amendment, Confidential record. Retention period based on AACRAO guidelines.	
6.5	375	Grade Reports Sent to Students Grades received by students for the term.	AC + 1		AC + 1	AC = Date distributed. Buckley Amendment, Confidential record. Retention period based on AACRAO guidelines.	

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6.5	376	Grade Sheets (Original) Grades awarded by instructors and serves as the basis for students' official academic records.	PM		PM	Buckley Amendment, Confidential record. CAUTION: This retention period applies to Registrar's Office copy. Departmental copies of grade sheets are convenience copies.		
6.5	377	Graduation Status and Ranking	PM		PM	Buckley Amendment, Confidential record. Retention period based on AACRAO guidelines.		
6.5	532	Hazlewood Act Documentation Documents eligibility to claim the Hazlewood exemption and institutional records to track benefit hours claimed.	PM		PM	Texas Education Code §54.058 (Hazlewood Act), 19 TAC 21.85		
6.5	490	Holds and Encumbrances Documents used to place (and remove) holds on the release of transcripts or other academic data.	AC		AC	AC = Until release of the hold authorization.		
6.5	378	Housing Records Includes housing requests, signed housing policies/contracts, driver's license forms, reservation/housing agreements, deposit receipts, rent delinquent notices, vacating notices, student incident reports, and related documentation and correspondence.	FE + 5		FE + 5			
6.5	379	ID Request	AC + 1		AC + 1	AC = Request received. Buckley Amendment, Confidential record.		

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6.5	380	ID System [University] Includes name, ID number, meal plan, Techexpress plans, classification, address, access privileges both building and student access to facilities such as rec., student health, ethnicity, gender, etc.	AC + 4		AC + 4	AC = After last enrollment.	
6.5	520	Intramural Sports Waivers Documents the legally and medically informed status of students, faculty, and staff participating in intramural sports activities. This form affirms that participants have been informed that they are not covered by the institution for injury or other medical situations and have been advised to seek private insurance.	AC + 3		AC + 3	AC = Conclusion of the intramural sports season.	
6.5	382	Military Training, Credit for	AV		AV	Buckley Amendment, Confidential record.	
6.5	383	Name Change Authorizations Documents students or applicants name changes reported to the admissions or registrar's offices by students. Records may include but are not limited to: letters requesting change in name; name change forms; lists or reports of students with changed names; and related documentation and correspondence.	AC + 5		AC + 5	AC = Request received. Buckley Amendment, Confidential record.	

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6.5	522	<p>Non-Institutional Student Records Documents and tracks the application, selection, and progress in special instructional programs of elementary through high school and non-institution students belonging to special, minority, or disadvantaged groups. Examples of programs to which this series applies are Science and Mathematics Investigative Learning Experiences (SMILE), Upward Bound, High School Equivalency, and other non-institution programs. Includes: application and admission documentation; 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; federal student aid reports; risk release and insurance forms; immigration and citizenship documentation; financial responsibility records; reports; and related documentation and correspondence. Portions may be exempt from disclosure.</p>	AC + 3		AC + 3	AC = Separation from program.
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6.5	384	Requests for and Disclosures of Personally Identifiable Information	AC		AC	AC = Permanent as long as disclosed information is maintained. Buckley Amendment, Confidential record.	
6.5	482	Requests for Nondisclosure of Directory Information	AC		AC	AC = Permanent or until terminated by the student.	
6.5	385	Pass/Fail Records	AC + 1		AC + 1	AC = Graduation or withdrawal. Buckley Amendment, Confidential record.	
6.5	386	Permits for Admission to Register	AV		AV	Buckley Amendment, Confidential record.	
6.5	387	Placement and Career Counseling	AC + 5		AC + 5	AC = Termination of counseling. Buckley Amendment, Confidential record.	
6.5	388	Academic Action Authorizations Authorizations for academic actions, such as academic probation, suspensions, dismissals, reinstatements, etc.	AC + 5		AC + 5	AC = Graduation or date of last attendance. Buckley Amendment, Confidential record.	
6.5	391	Recruitment Records Includes prospects lists; interview and conversation notes; photographs; personal information forms and resumes; test scores; academic transcripts; and related documentation and correspondence.	AC + 1		AC + 1	AC = After application term. Buckley Amendment, Confidential record.	
6.5	528	Registration Audit Records (SFRSTCA Table)	AC + 3		AC + 3	AC = Graduation or date of last attendance. Buckley Amendment, Confidential record.	
6.5	529	Registration Records (SFRSTCR Table) – Has Extender Documentation	PM		PM	AC = Graduation or date of last attendance. Buckley Amendment, Confidential record.	

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6.5	392	Students - Reports Reports generated by departments that do not fall in other categories such as admissions, grades, financial aid, etc.	5		5	Buckley Amendment may apply depending on the contents of the report.	
6.5	393	Residency Affidavits and Documentation Documents declarations filed by students regarding state residency status which is critical for determining tuition status. Records may include but are not limited to: affidavits; correspondence regarding residency; and related documentation.	AC + 6		AC + 6	AC = After submission. Texas Education Code §54.052. CAUTION: Not for residency classification forms submitted by applicants as part of the admissions process. See item 343.	
6.5	394	Scholarship Applications (Rejected)	AC + 1		AC + 1	AC = Selections. See also Students - Financial Aid Records. Buckley Amendment, Confidential record.	
6.5	396	Scholarship Records (Federal)	AC + 5		AC + 5	AC = Selections. Federal Register, 1-19-81, Part 3, Dept. of Education, Vol. 46, No. 12, 672.19, P3C. Buckley Amendment, Confidential record.	
6.5	487	Scholarship Administrative Records – Departmental Includes documentation of the establishment of the fund, correspondence regarding the scholarship program, list of recipients, etc.	AC		AC	AC = Termination of award. 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. Refer to RRS 1.1.019 for press releases and URRS-47.	
6.5	397	Scores and Reports (External), Admission	AC + 5		AC + 5	AC = Selections. Buckley Amendment, Confidential record.	
6.5	399	Stipend Acceptance Forms	10		10		

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6.5	381	Foreign Student Records Records dealing with F-1 students and the J student and scholar program, including passport, I-20 and documents of financial responsibility.	AC + 3		AC + 3	AC = Completion of the immigration program and/or from the date of the denial if the reinstatement is denied. 8 CFR 214.3(g)(1) and (2) and CFR 62.10(h).		
6.5	486	Student Internship Program Records	AC		AC	AC = a) Applications of students not admitted into internship programs are kept FE+1; b) Records of students admitted to internship programs should be kept AV as long as they are valuable for credentialing purposes; and c) Financial records associated with payment for student expenses should be kept FE+3 for auditing purposes.		
6.5	565	Student Internship Program Records - Not Enrolled/Denied	FE + 1		FE + 1	AC = End of Academic term in which internship occurred. CAUTION: See Ain 434 for reimbursable student expenses		
6.5	475	Student Papers, Class Examinations and Tests Completed as Part of Course Work	AV		AV	SEE also Faculty/Instructor Grade Books.		
6.5	398	Students - Statistics Historical information gathered on the student makeup of the university, including degrees given and racial/ethnic information.	PM		PM	O		

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

6.5	400	Student Organizations Administrative Records Historical information documenting the activities of the organization, including membership rosters, annual reports, memos, scrapbooks, photographs and related memorabilia.	AV		AV	I	URRS-302	
6.5	401	Student Teaching	AC + 10		AC + 10		AC = Completion of teaching.	
6.5	479	Student Certification Records - Professional Documents the preparation of students earning degrees and/or certification for licenses or certificates to enter a profession (e.g., teaching certificates) and forms the basis of the initial certification by external entities for various professions.	AC + 1		AC + 1		AC = Certification. CAUTION: Accrediting agencies may require longer retention periods for professional certification records.	
6.5	488	Student Certification Records - Academic Documents student completion of certificate programs offered by university academic programs.	PM		PM			
6.5	402	Test Materials (External)	US		US			
6.5	403	Tests - Student Academic	AC + 1		AC + 1		AC = After test administered. Buckley Amendment, Confidential record.	

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



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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

6.5	489	Theses and Dissertations Final and accepted graduate publication to fulfill degree requirements.	PM		PM	Permanent hard copies before 2005 reside with the University Archives. After 2005, the official copy becomes the electronic version maintained by the Texas Tech University Libraries.	
6.5	404	Transcript Requests	AC + 1		AC + 1	AC = Date submitted. Buckley Amendment, Confidential record.	
6.5	405	Transcripts	PM		PM	Buckley Amendment, Confidential record. Retention period based on TACRAO guidelines for academic records.	
6.5	406	Transcripts of Applicants Who Did Not Attend and/or Get Accepted	AC + 1		AC + 1	AC = Date received. Buckley Amendment, Confidential record.	
6.5	485	Tuition Exemption Records Applications for and supporting documentation evidencing the grant of tuition exemptions or remissions.	AC+3		AC+3	AC = End of award year.	
6.5	512	Tuition Rebate and Supporting Documentation	AC + 5		AC + 5	AC = Graduation or last semester enrolled.	
6.5	407	Veterans Affairs Records	AC	3	AC + 3	AC = Graduation or date of last Attendance.	
6.5	408	Waivers for Rights of Access	AC		AC	AC = Until terminated.	
6.5	409	Withdrawal Authorizations	AC + 3		AC + 3	AC = End of academic term in which enrollment terminated. Local schedule Item JC3725-12.	

Retention Codes (Field 7)	Archival Codes (Field 8)
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page **136** of **136**

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

Category 6: Texas Tech Records Section 6.6 – Financial Aid Documents							
6.6	371	Financial Aid Assistance Records	AC + 3		AC + 3	AC = Current award year. All audit requirements will be met prior to disposal. Office of origin is responsible for arranging storage.	
6.6	461	Federal Parent Loan for Undergraduate Students (PLUS) Loan Program	AC + 3		AC + 3	AC = End of loan period for which loan was intended. 34 CFR 682.610(a)(2)	
6.6	462	Pell Grants	AC + 3		AC + 3	AC = End of award year. 34 CFR 690.82(a)	
6.6	463	Perkins Loan Program – National Direct Student Loan (NDSL) – Original Promissory Notes	AC + 3		AC + 3	AC = Until loan is satisfied or documents are needed to enforce obligation. 34 CFR 674.19(e)(4)	
6.6	464	Perkins Loan Program (NDSL) – Loans Repaid	AC + 3		AC + 3	AC = Date of final payment. 34 CFR 674.19(e)(3)	
6.6	465	Primary Care Loan Program Health profession and nursing student loan programs.	AC + 5		AC + 5	AC = Date of retirement of loan. 42 CFR 57.215(c) and 42 CFR 57.315(a)(3)	
6.6	466	Supplemental Educational Opportunity Grants (SEOG)	AC + 3		AC + 3	AC = Submission of Fiscal Operations Report and Application to Participate (FISAP report). 34 CFR 676.19	
6.6	410	Work-Study: Certificates of Payment	AC + 3		AC + 3	AC = Submission of FISAP report. All audit requirements will be met prior to final disposal. 34 CFR 675.19.	

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