

Records Retention Schedule

REVISION
September 2026

This is a plain-language usability aid intended to facilitate using SFA's state-approved retention schedule. For the official retention schedule, please contact the University Records Manager or visit the SFA records management website.

How to use this schedule

Use the table of contents to browse by function or the alphabetical index to jump directly to a record series. You can also search the document for keywords.

Record Series Title	The type of record described for each item in the retention schedule.
Record Details & Information	This describes the details of each record for clarity. Legal citations, if applicable, appear at the bottom of the entry.
Retention Period	The minimum retention period for each item in plain-language. The official retention code appears immediately beneath it.
Cautions and archival notes	CAUTION and ARCHIVES NOTE alerts appear when special attention is needed in properly handling a type of record.
Archival transfer	When an entry is designated archival, the title area says “Archival, send to University Archivist.” Disposition questions should be directed to the University Records Manager.

Retention-code legend

Code	Meaning
AC	After closed, or after the event specified in the AC definition
AV	As long as administratively valuable
CE	Calendar year end
FE	Fiscal year end
LA	Life of asset
PM	Permanent
US	Until superseded

A “+ N” suffix means the record is retained for the stated number of additional years after the applicable trigger.

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1 — Administrative Records

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1.1 — General

46 record series

SFA1.1.2

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.

RETENTION

Keep for 7 years after publication or release of final audit findings.

Official retention code: AC + 7

NOTES

The State Auditor's Office (SAO) retains any copies of its audits performed on Texas state agencies.

See AINs SFA5.4.18 and SFA5.4.19 for Audit Plan records.

SFA1.1.4

Archival, send to University Archivist

Legislative Appropriations Requests

Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.

RETENTION

Keep for 6 years after September 1 of odd-numbered calendar years.

Official retention code: AC + 6

ARCHIVES NOTE

The archival requirement is met by sending the required copies of the requests to the University Archivist and 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.

SFA1.1.6

Complaint Records

Complaints and other unsolicited feedback received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.

RETENTION

Keep for 2 years after the latest of these events: receipt of the complaint, action taken on the complaint, or final disposition of the complaint.

Official retention code: AC + 2

CAUTION

If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of AIN SFA1.1.48.

SFA1.1.7**Archival, send to University Archivist****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

RETENTION**Keep for 4 years.***Official retention code: 4***ARCHIVES NOTE**

Only the administrative correspondence of executive staff, board or commission members, division directors, and program heads requires archival review. Contact the University Records Manager when these records have met their retention periods.

CAUTION

This records series and AIN SFA1.1.8 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 AIN SFA1.1.4; a letter concerning an audit for that prescribed by AIN SFA1.1.2, etc. See also AIN SFA1.1.11.

SFA1.1.8**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.

RETENTION**Keep for 2 years.***Official retention code: 2***NOTES**

See comment to AIN SFA1.1.7. See also AIN SFA1.1.10.

SFA1.1.10**Directives**

Any document that officially initiates, rescinds, or amends general office procedures.

RETENTION**Keep for 1 year after being superseded.***Official retention code: US + 1*

SFA1.1.11

Archival, send to University Archivist

Executive Orders

Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.

RETENTION

Keep for 3 years after being superseded.

Official retention code: US + 3

SFA1.1.13

Archival, send to University Archivist

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.

RETENTION

Keep through the end of the calendar year, then retain for 1 additional year.

Official retention code: CE + 1

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. Contact the University Records Manager when these records have met their retention periods.

CAUTION

A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.

SFA1.1.13aa

Archival, send to University Archivist

Calendars, Academic

RETENTION

Keep for 5 years.

Official retention code: 5

SFA1.1.14

Archival, send to University Archivist

Legal Opinions and Advice

From agency legal counsel or the Attorney General, including any requests eliciting the opinions.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

CAUTION

Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation, or opinions rendered for Public Information Act Requests. See AINs SFA1.1.48, SFA1.1.20, and SFA1.1.21.

ARCHIVES NOTE

Review required before disposal. Cases that set legal precedent or exhibit historical value will be evaluated by the University Archivist for archival preservation.

SFA1.1.19**Archival, send to University Archivist****Public Relations Records**

News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.

RETENTION**Keep for 2 years.***Official retention code: 2***SFA1.1.20****Public Information Requests - Not Exempted**

Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code). Also includes withdrawn requests.

RETENTION**Keep for 1 year after the date request fulfilled or withdrawn.***Official retention code: AC + 1***SFA1.1.21****Public Information Requests - Excepted**

Includes all correspondence and documentation relating to requests for records that are excepted under the Public Information Act (Chapter 552, Government Code), including records provided to the legislature under section 552.008.

RETENTION**Keep for 2 years after the date of notification that records are exempt.***Official retention code: AC + 2***SFA1.1.23****Archival, send to University Archivist****Organization Charts**

Charts or diagrams that show the structure of an agency and the relationships and relative ranks of its departments and job positions.

RETENTION**Keep until superseded.***Official retention code: US*

ARCHIVES NOTE

Only charts showing the overall arrangement and administrative structure of the state agency need to be transferred to the University Archives. Organizational charts showing division/department-level detail are not considered archival.

SFA1.1.24**Archival, send to University Archivist****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.

RETENTION

Keep for 3 years after decision made to implement or not to implement results of planning process.

Official retention code: AC + 3

ARCHIVES NOTE

Data processing planning records are not archival.

SFA1.1.26**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.

RETENTION

Keep for 1 year after the date of publication in the Texas Register.

Official retention code: AC + 1

SFA1.1.27**Proposed Legislation**

Drafts of proposed legislation and related correspondence.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

SFA1.1.38**Surveys and Questionnaires**

Surveys soliciting feedback from customers, clients, or stakeholders of an agency, and the statistical data maintained rating an agency's performance.

RETENTION

Keep until the summary report is finally disposed of, or, if no report will be produced, until the decision is made not to produce one.

Official retention code: AC

NOTES

See AIN SFA1.1.67 for summary reports compiled from customer surveys.

SFA1.1.40

Archival, send to University Archivist

Speeches, Papers, and Presentations

Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.

RETENTION

Keep for 2 years after the event ends, the material is superseded, or the material becomes obsolete, as applicable.

Official retention code: AC + 2

ARCHIVES NOTE

Only speeches, papers, and presentations given by or on behalf of executive staff, board or commission members, division directors and program heads require archival review.

SFA1.1.43

Training Materials

Instructional materials and other records developed by an agency associated with training the entities or non-personnel individuals it regulates or serves, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids used in external training programs.

RETENTION

Keep for 1 year after the training session ends, the training materials are superseded, or the training program ends, as applicable.

Official retention code: AC + 1

NOTES

See AIN SFA3.3.30 for internal personnel training materials.

CAUTION

Does not include hazardous material training records. See AIN SFA5.4.7.

SFA1.1.48

Archival, send to University Archivist

Litigation Files

Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.

RETENTION

Keep for 1 year after the applicable final event: a decision that no lawsuit will be filed, dismissal of the lawsuit, or the final court decision, including any appeal.

Official retention code: AC + 1

ARCHIVES NOTE

Review required before disposal. Cases that set legal precedent or exhibit historical value will be evaluated by the University Archivist for archival preservation.

SFA1.1.53**Registration Logs**

Logs or similar records used to register persons appearing before state agencies as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission (TEC).

RETENTION

Keep until report filed with the Texas Ethics Commission, or date quarterly report would have been filed when the agency has no information to report.

Official retention code: AC

SFA1.1.55

Archival, send to University Archivist

Strategic Plans

Operational strategic plans, which include descriptions of information resources programs, prepared in accordance with Government Code, 2054.095 and 2056.002. Includes working files and related documentation used in creating the final plan.

RETENTION

Keep for 6 years after September 1 of odd-numbered calendar years.

Official retention code: AC + 6

ARCHIVES NOTE

The final version of Strategic Plans must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(2)(C). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period.

SFA1.1.56**ADA (Americans with Disabilities Act) Documentation**

Self evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act.

RETENTION

Keep for 3 years.

Official retention code: 3

LEGAL CITATIONS

28 CFR 35.105(c).

SFA1.1.57**Transitory Information**

Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; telephone message notifications; 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.

RETENTION

Keep until the purpose of the record has been fulfilled.

Official retention code: AC

CAUTION

Use AIN SFA1.1.57 only when you are certain the records are not part of another records series listed in this schedule or, for records series unique to the agency, are not part of a records series that documents the fulfillment of the agency's statutory obligations or functions. The disposal of transitory information need not be documented through destruction signoffs (SFA1.2.1) or in records disposition logs (SFA1.2.10), but agencies should establish procedures governing disposal of these records as part of its records management plan (SFA1.2.14).

SFA1.1.58

Archival, send to University Archivist

Meetings, Agendas and Minutes of Open

Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.

RETENTION

Keep permanently.

Official retention code: PM

ARCHIVES NOTE

Agency retains permanent record copy. The archival requirement will be met by sending a copy to the University Archivist.

CAUTION

This records series and AINs SFA1.1.59, SFA1.1.60, SFA1.1.61, and SFA1.1.62 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.

SFA1.1.59**Meetings, Certified Agendas or Tape Recordings of Closed**

Agendas, minutes, or audiovisual recordings of closed meetings of state boards, commissions, committees, and councils.

RETENTION

Keep for 2 years after the date of the meeting or completion of pending action involving the meeting, whichever is later.

Official retention code: AC + 2

NOTES

See caution comment at AIN SFA1.1.58.

LEGAL CITATIONS

Government Code, 551.104(a).

SFA1.1.60**Meetings, Audio or Videotapes of Open**

Audiovisual recordings of open meetings of state boards, commissions, committees, and councils.

RETENTION

Keep for 90 days after the governing body approves the written minutes of the meeting.

Official retention code: AC + 90 days

CAUTION

It is an exception to the AC+90 days retention that if an agency does not prepare written minutes, it must retain recordings of open meetings permanently, following the same retention requirements of AIN SFA1.1.58. See also caution comment at AIN SFA1.1.58.

SFA1.1.61**Meetings - Notes**

Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.

RETENTION

Keep for 90 days after the governing body approves the formal minutes.

Official retention code: AC + 90 days

NOTES

See caution comment at AIN SFA1.1.58.

SFA1.1.62

Archival, send to University Archivist

Meetings - Supporting Documents

Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, public comment forms, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.

RETENTION

Keep for 2 years.

Official retention code: 2

NOTES

See caution comment at AIN SFA1.1.58.

SFA1.1.63

Staff Meeting Minutes and Notes

Minutes or notes, and supporting documents taken at internal agency staff meetings.

RETENTION

Keep for 1 year.

Official retention code: 1

SFA1.1.64

Agency Performance Measure Documentation

Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.

RETENTION

Keep through the end of the fiscal year, then retain for 3 additional years.

Official retention code: FE + 3

NOTES

See AIN SFA1.1.68 for reports on agency performance measures.

CAUTION

The FE + 3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.

SFA1.1.65

Reports and Studies (Non-Fiscal) - Raw Data

Information or data collected and compiled for the purpose of producing non-fiscal reports.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

NOTES

See AIN SFA1.1.67 for reports produced from raw data.

CAUTION

Does not include source documentation used for information or data included in or directly related to another records series in this schedule. See especially AIN SFA1.1.64.

SFA1.1.66**Archival, send to University Archivist****Reports - Biennial or Annual Agency (Narrative)**

Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute. Includes working files and related documentation used in creating the final report.

RETENTION

Keep for 6 years after September 1 of odd-numbered calendar years.

Official retention code: AC + 6

ARCHIVES NOTE

The final version of these agency reports must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3. The requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Working files and related documentation used in creating the final report may be disposed of at the expiration of the retention period.

SFA1.1.67**Archival, send to University Archivist****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.

RETENTION

Keep for 3 years.

Official retention code: 3

NOTES

See AIN SFA1.1.65 for raw data used to produce reports.

ARCHIVES NOTE

Reports are archival when they deal with significant aspects of the agency's programs.

SFA1.1.68**Reports on Performance Measures**

Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.

RETENTION

Keep for 6 years after September 1 of odd-numbered calendar years.

Official retention code: AC + 6

NOTES

See AIN SFA1.1.64 for documentation used to produce reports on agency performance measures.

SFA1.1.69

Reports - Activity

Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.

RETENTION

Keep for 1 year.

Official retention code: 1

CAUTION

If reports are used to document performance measures, see AIN SFA1.1.64.

SFA1.1.70

Archival, send to University Archivist

Agency Rules, Policies, and Procedures

Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects. Includes working files and related documentation used in creating rules, policies, and procedures.

RETENTION

Keep for 3 years after the rules, policies, or procedures are superseded, or after the related program, rules, policies, or procedures are terminated, as applicable.

Official retention code: AC + 3

ARCHIVES NOTE

Working files and related documentation used in creating the final rules, policies, and procedures are not subject to the archival requirement and may be disposed of at the expiration of the retention period.

SFA1.1.72

Public Information Reports

Reports made to the Office of Attorney General (OAG) on an agency's Public Information Act activities, per Government Code, 552.010.

RETENTION

Keep for 2 years.

Official retention code: 2

SFA1.1.73

Archival, send to University Archivist

Administrative Hearings

Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes.

RETENTION

Keep for 3 years after last action.

Official retention code: AC + 3

ARCHIVES NOTE

Only records that lead to substantial or statutory changes to the operations of the agency and its policies and procedures should be retained for archival review.

CAUTION

These records may be maintained with related information, including meeting notices, proofs of publication, and meeting minutes, and require a longer retention period.

SFA1.1.74**Archival, send to University Archivist****Sunset Review Report and Documentation**

Sunset Review Report, agency self-study, and other correspondence and supporting documentation related to the Sunset review process for state agencies.

RETENTION

Keep for 3 years after the subsequent Sunset Review.

Official retention code: AC + 3

NOTES

Related documentation includes the agency self-evaluation report, agency response to the commission's draft report, and documentation of the agency's implementation of the commission's final recommendations.

SFA1.1.75**Alternative Dispute Resolutions - Final Agreement**

Final agreement described by Government Code, 2009.054(c), associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state agency participated as a party on the agency's behalf.

RETENTION

Keep for 4 years after the date of final agreement.

Official retention code: AC + 4

LEGAL CITATIONS

Texas Civil Practice and Remedies Code, Chapter 154.071.

SFA1.1.76**Subpoenas**

Subpoenas for production of evidence produced for litigation in which the state agency is not a party. Includes legal documents requiring recipient to appear in court to testify, or to produce records to be used in litigation.

RETENTION

Keep until the request is fulfilled.

Official retention code: AC

NOTES

For subpoenas related to litigation in which the state agency is a party, see AIN SFA1.1.48.

SFA1.1.77**Release of Records Documentation**

Records that document the release of records or information through any method other than a Public Information Act request or subpoena (including employment verification).

RETENTION

Keep until the records are released.

Official retention code: AC

NOTES

See AIN SFA1.1.20 for records released under the Public Information Act. See AIN SFA1.1.76 for records produced for a subpoena. See AIN SFA1.1.48 for records produced for litigation.

CAUTION

Some records releases may require a longer retention period. Agencies must determine if a longer retention period is required based on any federal or state statutes or regulations that apply to the agency's functions. Agency legal staff should be consulted.

SFA1.1.78**Waivers of Liability**

Waivers of liability, including statements signed by volunteers acknowledging non-entitlement to benefits, agreeing to abide by state agency policies, etc.

RETENTION

Keep for 3 years after the date of cessation of activity for which the waiver was signed.

Official retention code: AC + 3

CAUTION

If an accident occurs to any person covered by a signed waiver of liability, it must be retained for the same period as accident reports. See AINs SFA5.4.1 and SFA5.4.14a/b.

SFA1.1.79

Archival, send to University Archivist

Copyright Records

Copyright records which pertain to employees' original work. May include but not limited to a copy of the work itself as submitted to the United States Copyright Office and the corresponding copyright application, registration notice, and supplementary documents.

RETENTION

Keep until expiration of copyright.

Official retention code: AC

LEGAL CITATIONS

17 USC 302.

1.2 — Records Management

10 record series

SFA1.2.1

Destruction Authorizations

Documents authorizing final disposition of records under a certified records retention schedule. Records may also include destruction authorizations (e.g., form RMD 102) approved by Texas State Library and Archives Commission.

RETENTION

Keep for 3 years.

Official retention code: 3

CAUTION

If destruction authorizations are maintained as part of AIN SFA1.2.10 (Records Disposition Logs), then the longer retention period applies.

SFA1.2.3

Forms History and Maintenance

Master versions of all forms used internally and externally by the agency, including subsequent revisions to an agency form or any associated design or design modification requests.

RETENTION

Keep for 2 years after the record is superseded or its use is discontinued.

Official retention code: AC + 2

SFA1.2.5

Records Retention Schedule

A records retention schedule (i.e., form SLR 105) that identifies the records that are created and maintained by an agency, provides the minimum timeframes the records must be retained, and includes instructions for their disposition. This series may include working files and documentation of certification and approval by the Texas State Library and Archives Commission.

RETENTION

Keep until superseded.

Official retention code: US

NOTES

Original is retained for 50 years by the State and Local Records Management Division, Texas State Library and Archives Commission.

SFA1.2.6

Records Transmittal Forms

Forms used to track the transmittal of records to/from onsite and offsite storage areas or a transfer of physical custody.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

SFA1.2.10

Records Disposition Logs

Logs or similar records listing records destroyed or transferred to the Archives showing records series titles, dates of records, and the date destroyed or transferred.

RETENTION

Keep for 10 years.

Official retention code: 10

CAUTION

Disposition can mean destroyed or transferred.

SFA1.2.12

Records Inventories

Worksheets or working papers used to capture records inventory information, including location tracking and to document existence and requirements of a records series.

RETENTION

Keep until superseded.

Official retention code: US

SFA1.2.13

Records Access and Locator Aids

Documentation used to provide and improve access to records. Includes indexes, card files, shelf lists, registers, guides, and other finding aids.

RETENTION

Keep until aid is superseded, or no longer needed because associated records have been destroyed.

Official retention code: AC

CAUTION

These records must carry the same retention period and archival code of the records they support.

SFA1.2.14**Records Management Policies and Procedures**

Records management plans and similar records that establish the policies under which records and information are managed in an agency.

RETENTION

Keep for 1 year after being superseded.

Official retention code: US + 1

SFA1.2.15**Disaster Recovery Service Transmittals**

Transmittals and related service documentation (e.g., form RMD 109) for disaster recovery services provided by TSLAC or other entities.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

SFA1.2.16**Disaster Recovery Service Approval Forms**

Forms used by TSLAC (e.g., form RMD 113) or other entities to establish disaster recovery services, authorize agency staff to access the media, etc.

RETENTION

Keep until superseded or termination of service.

Official retention code: AC

1.3 — State Publications

2 record series

SFA1.3.1

Archival, send to University Archivist

State Publications

One copy of each state publication as defined in SFA HOP 01-306, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (See AIN SFA1.1.58) also meets the definition, but it must be retained permanently, AINs SFA1.1.4, SFA1.1.55, SFA1.1.66, SFA1.1.68, and SFA4.5.3, which also meet the definition, are closely associated with the appropriations process and must be retained AC + 6.

RETENTION

Keep for 2 years after the record is superseded or becomes obsolete.

Official retention code: AC + 2

ARCHIVES NOTE

Pamphlets, reports, studies, proposals, and similar material printed by or for the university or any of its departments, subdivisions, or programs and distributed to or intended for distribution to the public on request and departmental or program newsletters designed for internal distribution. One copy sent to the University Archivist for permanent retention.

CAUTION

Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101-§§441.106). For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC 3.1-3.16).

SFA1.3.2**Archival, send to University Archivist****Publication Development Files**

Physical and digital development and design files used to create State Publications, including but not limited to background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.

RETENTION**Keep as long as administratively valuable.***Official retention code: AV***NOTES**

See AIN SFA1.3.1 for final State Publications created from development files.

ARCHIVES NOTE

Successive and substantive drafts of major publications may be archival. Major is defined by both the publication's authorship and its impact on Texas and Texans. Original artwork, including photo prints and negatives that have significant value as evidence of agency programs as well as the potential for re-use, may be archival.

2 — Information Technology Records

[Back to contents](#)

2.1 — Automated Applications

5 record series

SFA2.1.2**Master Files and Application Data**

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.

RETENTION

Keep until electronic records are transferred to and made usable in a new system environment, or there are no electronic records being retained to meet an approved retention period established in this schedule that require the use of the system.

*Official retention code: AC***CAUTION**

Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.

SFA2.1.7

Computer Software Programs

Agency-developed automated software applications, operating system files, and associated processing files, including job control language, programs, applications, scripts, source code, etc.

RETENTION

Keep 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.

Official retention code: AC

CAUTION

Software needed for access to electronic records must be retained for the period of time required to access the records.

LEGAL CITATIONS

13 TAC 6.94.

SFA2.1.8

Computer Hardware Documentation

Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, equipment control systems, and associated processing files.

RETENTION

Keep 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.

Official retention code: AC

CAUTION

Hardware needed for access to electronic records must be retained for the period of time required to access the records.

LEGAL CITATIONS

13 TAC 6.94.

SFA2.1.9**Hardware and Software 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.

RETENTION

Keep 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.

Official retention code: AC

CAUTION

Hardware needed for access to electronic records must be retained for the period of time required to access the records.

LEGAL CITATIONS

13 TAC 6.94.

SFA2.1.10**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.

RETENTION

Keep until all audit requirements have been met.

Official retention code: AC

2.2 — Computer Operations and Technical Support

9 record series

SFA2.2.1**System or Computer Monitoring Records**

Hardware and software components for monitoring agency's computer system resources and performance.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

NOTES

The disposal of monitoring records that are automatically overwritten need not be documented through destruction authorizations (AIN SFA1.2.1) or in records disposition logs (AIN SFA1.2.10), but agencies should establish procedures governing disposal of these records as part of its records management plan (AIN SFA1.2.14).

SFA2.2.2

Chargeback Records to Data Processing Services Users

Records used to document, calculate costs, and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.

RETENTION

Keep through the end of the fiscal year, then retain for 3 additional years.

Official retention code: FE + 3

SFA2.2.10

Data Processing Policies and Procedures

Manuals, guidelines, or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.

RETENTION

Keep for 3 years after being superseded.

Official retention code: US + 3

CAUTION

Does not include technical documentation of procedures necessary for reading or processing of electronic records. See AIN SFA2.1.9.

SFA2.2.11

Data Input Documents

Forms and logs used to enter and reconcile data sets submitted for processing.

RETENTION

Keep until the data has been entered into the applicable system and, if required, verified.

Official retention code: AC

SFA2.2.13

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.

RETENTION

Keep until no longer needed as an audit trail for any records modified.

Official retention code: AC

SFA2.2.14**Internet Browser Files**

A record of web pages visited during an internet session, including data files of user-specific information created by the webserver, that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

NOTES

The disposal of Internet cookies need not be documented through destruction authorizations (SFA1.2.1) or in records disposition logs (SFA1.2.10), but agencies should establish procedures governing disposal of these records as part of its records management plan (SFA1.2.14).

SFA2.2.16**Software Registration, Warranties, and License Agreements**

Records documenting the registration and licensing of a software application to activate the software for legal use by the end users of a state agency, along with warranties providing that the software will perform in accordance with functional specifications.

RETENTION

Keep for the life of the asset, then retain for 3 additional years.

Official retention code: LA + 3

SFA2.2.17**Help Desk Tickets**

Records documenting the request for and response to help desk tickets received by divisions or units, such as information technology.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

SFA2.2.18**Biennial Information Security Plan**

Biennial information security plan for protecting the security of the agency's information.

RETENTION

Keep until superseded.

Official retention code: US

LEGAL CITATIONS

1 TAC 202.23; 1 TAC 202.73.

3 — Personnel Records

[Back to contents](#)

3.1 — Employee

29 record series

SFA3.1.1

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.

RETENTION

Keep for 2 years after the date of the making of the record or the personnel action involved, whichever occurs later.

Official retention code: AC + 2

CAUTION

Does not include ADA Accommodation Requests. See AIN SFA3.1.42.

LEGAL CITATIONS

29 CFR 1602.31 [State Agencies].

29 CFR 1602.49(a).

SFA3.1.2

Applications for Employment - Hired

Applications, resumes, transcripts, letters of references, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.

RETENTION

Keep for 5 years after separation of employment.

Official retention code: AC + 5

SFA3.1.6

Employee Counseling Records

Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisory level except in those agencies with counseling staff.

RETENTION

Keep for 3 years after separation of counseling.

Official retention code: AC + 3

SFA3.1.11**Employee Benefits**

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.

RETENTION

Keep until superseded or separation of employment.

Official retention code: AC

CAUTION

Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for AIN SFA3.2.1.

SFA3.1.12**Employment Opportunity Announcements**

Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.

RETENTION

Keep for 2 years.

Official retention code: 2

LEGAL CITATIONS

29 CFR 1602.49(a) (State Universities).

SFA3.1.13a**Employment Contracts - On or after September 1, 2015**

Employment contracts executed, renewed, or amended on or after September 1, 2015.

RETENTION

Keep for 7 years after expiration or termination of the contract according to its terms.

Official retention code: AC + 7

LEGAL CITATIONS

Government Code, 441.1855.

SFA3.1.13b**Employment Contracts - On or before August 31, 2015**

Employment contracts executed, renewed, or amended on or before August 31, 2015.

RETENTION

Keep for 4 years after expiration or termination of the contract according to its terms.

Official retention code: AC + 4

LEGAL CITATIONS

Government Code, 441.1855.

SFA3.1.14**Employment Selection Records**

Includes notes of interviews with candidates; questions asked of applicants; audio and videotapes of job interviews; driving record and previous injury checks; pre-employment physical examinations; and all other records that document the selection process, except for those noted in Remarks.

RETENTION

Keep for 2 years after the date of the making of the record or the personnel action involved, whichever occurs later.

Official retention code: AC + 2

CAUTION

Does not include criminal history checks; see AIN SFA3.1.26.

Does not include drug screening test results; see AIN SFA3.1.40a/b/c.

Does not include pre-employment skills tests; see AIN SFA3.3.27 and SFA3.3.28.

Does not include pre-employment polygraph examinations; see AIN SFA3.1.43.

LEGAL CITATIONS

29 CFR 1602.49(a) (State Universities).

SFA3.1.18**Grievance Records**

Records relating to the review of employee grievances against personnel policies, working conditions, etc.

RETENTION

Keep for 2 years after whichever occurs later: the final decision on the grievance or the employee's separation from employment.

Official retention code: AC + 2

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 AIN SFA1.1.48.

SFA3.1.19**Performance Appraisals**

Job evaluations, performance appraisals, or other similar documents used to evaluate the performance of an employee.

RETENTION

Keep for 2 years.

Official retention code: 2

LEGAL CITATIONS

29 CFR 1620.32(c).

SFA3.1.20**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.

RETENTION

Keep for 5 years after termination of corrective action.

Official retention code: AC + 5

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 AIN SFA3.1.21, all documentation from this series used to support disciplinary action must be retained for the minimum retention period described by AIN SFA3.1.21.

SFA3.1.21**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.

RETENTION

Keep for 5 years after termination of employment.

Official retention code: AC + 5

SFA3.1.22**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 separation of employment.

RETENTION

Keep for 2 years.

Official retention code: 2

LEGAL CITATIONS

29 CFR 1602.49(a) (State Universities).

SFA3.1.23**Position/Job Descriptions**

Job descriptions, including all associated task or skill statements, for positions in an agency.

RETENTION

Keep for 4 years after the record is superseded or the job is eliminated.

Official retention code: AC + 4

LEGAL CITATIONS

40 TAC 815.106(i).

SFA3.1.24**Physical Examinations/Medical Reports**

Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.

RETENTION

Keep for 2 years after the record is superseded or the employee separates from employment.

Official retention code: AC + 2

CAUTION

Does not include pre-employment physical examinations. See AIN SFA3.1.14.

Does not include medical or physical examinations for employees exposed to hazardous materials. See AIN SFA5.4.16a/b.

SFA3.1.26**Criminal History Checks**

Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).

RETENTION

Keep until the criminal history record has served the immediate purpose for which it was obtained.

Official retention code: AC

CAUTION

An agency that is authorized to obtain criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.

SFA3.1.27**Training and Educational Achievement Records (Individual)**

Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.

RETENTION

Keep for 5 years after termination of employment.

Official retention code: AC + 5

SFA3.1.29**Employment Eligibility Documentation**

Federal reporting form (INS I-9).

RETENTION

Keep for 3 years after the employee's date of hire, or 1 year after employment ends, whichever is later.

Official retention code: AC

CAUTION

Federal regulation requires that INS I-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period.

LEGAL CITATIONS

8 CFR 274a.2(b)(2)(i)(A) and (c)(2).

SFA3.1.34**Resumes - Unsolicited**

Retention period applies if an agency replies to the sender of a resume that it will be kept on file should future job openings occur.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

NOTES

See AIN SFA3.1.14 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.

SFA3.1.36**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.

RETENTION

Keep for 5 years.

Official retention code: 5

LEGAL CITATIONS

29 CFR 30.8(e).

SFA3.1.37**Employee Recognition Records**

Awards, incentives, tenure, etc.

RETENTION

Keep for 5 years after termination of employment.

Official retention code: AC + 5

SFA3.1.38**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.

RETENTION

Keep until superseded.

Official retention code: US

NOTES

See AIN SFA3.3.11.

SFA3.1.39**Ombudsman Records**

Consultation records, notes, letters, memos, emails, reports, and other documentation.

RETENTION

Keep until the final decision is made or the matter is closed.

Official retention code: AC

CAUTION

Does not include a formal complaint filed with EEO. If the matter becomes a grievance or the subject of counseling or litigation, or the employee is subject to disciplinary action, the records are subject to retention in the appropriate records series. See SFA1.1.48, SFA3.1.6, SFA3.1.18, SFA3.1.20, and SFA3.1.21.

SFA3.1.40a

Employee Drug Testing and Screening Records - Positive Results and Calibration

Records of employee alcohol test results indicating an alcohol concentration of 0.02 or greater; records of employee verified positive controlled substances test results; documentation of refusals to take required alcohol and/or controlled substances tests; employee evaluation and referrals; calibration documentation; records related to the administration of the alcohol and controlled substances testing programs; copy of each annual calendar year summary.

RETENTION**Keep for 5 years.***Official retention code: 5***LEGAL CITATIONS**

49 CFR 382.403 for commercial motor vehicle drivers.

SFA3.1.40b

Employee Drug Testing and Screening Records - Collection Records

Records related to the alcohol and controlled substances collection process (except calibration of evidential breath testing devices).

RETENTION**Keep for 2 years.***Official retention code: 2***NOTES**

See AIN SFA3.1.40a for calibration documentation.

SFA3.1.40c

Employee Drug Testing and Screening Records - Negative Results

Records of negative and canceled controlled substances test results and alcohol test results with a concentration of less than 0.02.

RETENTION**Keep for 1 year.***Official retention code: 1*

SFA3.1.41**Employee Acknowledgement and Agreement Forms**

Agreements between employee and agency authorizing certain actions, including acknowledgement forms, telecommuting agreements, outside/secondary employment authorizations, or other documentation that show proof of receipt and awareness of and adherence to agency policies and procedures.

RETENTION

Keep for 2 years after the record is superseded or the employee separates from employment.

Official retention code: AC + 2

SFA3.1.42**ADA Accommodation Requests**

Employee or applicant requests for reasonable accommodation under the ADA (Americans with Disabilities Act).

RETENTION

Keep for 2 years after employment ends for employees, or for 2 years after the date of application for applicants who were not selected.

Official retention code: AC + 2

LEGAL CITATIONS

29 CFR 1602.31.

SFA3.1.43**Polygraph Examination Results**

Polygraph examinations and results that are administered as a part of the employment selection process.

RETENTION

Keep for 3 years.

Official retention code: 3

LEGAL CITATIONS

29 CFR 801.

3.2 — Payroll

9 record series

SFA3.2.1**Employee Deduction Authorization**

Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.

RETENTION

Keep for 4 years after whichever occurs first: the employee separates from employment, or the authorization is amended, expires, or ends.

Official retention code: AC + 4

SFA3.2.2

Employee Earnings Records

Payroll records and registers documenting employee earnings, wages, and pay. This may include but is not limited to payroll input records, summary statements, payroll vouchers, payroll detail sheets, and payroll history.

RETENTION**Keep for 4 years.***Official retention code: 4***LEGAL CITATIONS**

40 TAC 815.106(i).

SFA3.2.3

Federal Tax Records

Employer's copy of "Employee's Withholding Exemption Certificate."

RETENTION**Keep for 4 years after the latest of these events: the tax due date, the date a claim is filed, or the date the tax is paid.***Official retention code: AC + 4***LEGAL CITATIONS**

26 CFR 31.6001-1(e)(2).

SFA3.2.4

Income Adjustment Authorization

Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.

RETENTION**Keep for 2 years.***Official retention code: 2***LEGAL CITATIONS**

29 CFR 516.6(c).

SFA3.2.5

W-4 Forms

Employer's copy of "Employee's Withholding Exemption Certificate."

RETENTION**Keep for 4 years after the form is superseded or becomes obsolete, or after the employee separates from employment, as applicable.***Official retention code: AC + 4***LEGAL CITATIONS**

26 CFR 31.6001-1 (e)(2).

SFA3.2.6**Wage Rate Tables**

Records defining the wage or salary rate for each position in the agency expressed in dollars, grades, or step numbers.

RETENTION**Keep for 2 years.***Official retention code: 2***LEGAL CITATIONS**

29 CFR 516.6(a)(2).

SFA3.2.7**Unemployment Compensation Records**

Records and documentation relating to unemployment compensation claims, including reimbursement of funds disbursed by Texas Workforce Commission (TWC).

RETENTION**Keep for 5 years after resolution of the claim.***Official retention code: AC + 5***SFA3.2.8****Direct Deposit Application/Authorization**

Forms used to deposit employee's earnings into a specified personal account.

RETENTION**Keep until the authorization is superseded or cancelled, or, after the employee separates from employment, until the final payment has been deposited, as applicable.***Official retention code: AC***SFA3.2.9****State Deferred Compensation Records**

Records documenting the amount of pension or deferred compensation earned by individual employees.

RETENTION**Keep for 4 years.***Official retention code: 4*

3.3 — Personnel Administration

18 record series

SFA3.3.1a

Affirmative Action Plans - Employees

Affirmative action plans for both regular employees and apprenticeship programs.

RETENTION

Keep for 5 years after the date of the making of the record or the personnel action involved, whichever occurs later.

Official retention code: AC + 5

LEGAL CITATIONS

29 CFR 30.12(d).

SFA3.3.1b

Affirmative Action Plans - Contractors

Affirmative action plans for contractors and subcontractors.

RETENTION

Keep for 2 years after the date of the making of the record or the personnel action involved, whichever occurs later.

Official retention code: AC + 2

LEGAL CITATIONS

41 CFR 60-1.12(a).

SFA3.3.4

Benefit Plans

Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.

RETENTION

Keep for 1 year after the record is superseded or the plan is terminated.

Official retention code: AC + 1

LEGAL CITATIONS

29 CFR 1627.3(b)(2).

SFA3.3.10

Labor Statistics Reports

Reports providing statistical information on labor force.

RETENTION

Keep for 3 years.

Official retention code: 3

SFA3.3.11**Former Employee Verification Records**

Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.

RETENTION

Keep for 75 years after termination of employment.

Official retention code: AC + 75

NOTES

See AIN SFA3.1.38

SFA3.3.15**Positions/Job Classification Review File**

Records relating to review and monitoring of job classifications within an agency.

RETENTION

Keep for 3 years after being superseded.

Official retention code: US + 3

SFA3.3.20**Work Schedules/Assignments**

Work, duty, shift, crew, or case schedule, rosters, or assignments.

RETENTION

Keep for 1 year.

Official retention code: 1

SFA3.3.22**Texas Workforce Commission (TWC) Reports**

Reports to the agency from TWC or its predecessor pertaining to employees.

RETENTION

Keep for 3 years.

Official retention code: 3

SFA3.3.23**Reimbursable Activities, Request 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 employees are defrayed or reimbursed.

RETENTION

Keep through the end of the fiscal year, then retain for 3 additional years.

Official retention code: FE + 3

SFA3.3.24**Personnel Policies and Procedures**

Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.

RETENTION

Keep for 3 years after being superseded.

Official retention code: US + 3

SFA3.3.25**Job Procedure Records**

Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.

RETENTION

Keep for 3 years after being superseded.

Official retention code: US + 3

SFA3.3.26**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, analysis of turnover rates and seasonality of employment, etc.

RETENTION

Keep for 3 years after being superseded.

Official retention code: US + 3

SFA3.3.27

Aptitude and Skills Tests

Aptitude, competency, or skills tests and checklists required of job applicants or of current personnel to qualify for promotion or transfer, including validation records.

RETENTION

Keep for 2 years after the record is superseded or is no longer used by the university.

Official retention code: AC + 2

CAUTION

One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.

LEGAL CITATIONS

29 CFR 1602.49.

SFA3.3.28

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.

RETENTION

Keep for 2 years.

Official retention code: 2

LEGAL CITATIONS

29 CFR 1602.49.

SFA3.3.30

Internal Training Administration Records

Records documenting the planning, development, implementation, administration, and evaluation of in-house training programs, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids used in in-house training programs.

RETENTION

Keep for 2 years after the training session ends, the training materials are superseded, or the training program ends, as applicable.

Official retention code: AC + 2

NOTES

See AIN SFA1.1.43 for external training records. See AIN SFA3.1.27 for individual employee training records.

CAUTION

Does not include hazardous material training records. See AIN SFA5.4.7.

SFA3.3.31**EEO Reports and Supporting Documentation**

Includes documentation used to complete EEO (Equal Employment Opportunity) reports.

RETENTION

Keep for 3 years.

Official retention code: 3

LEGAL CITATIONS

29 CFR 1602.32, 1602.48, and 1602.50.

SFA3.3.32**Equal Pay Records**

Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the federal Equal Pay Act.

RETENTION

Keep for 2 years.

Official retention code: 2

LEGAL CITATIONS

29 CFR 1620.32(c).

SFA3.3.33**Recruitment Plans**

Diversity and recruitment plans and related workforce analyses.

RETENTION

Keep for 3 years.

Official retention code: 3

LEGAL CITATIONS

Texas Labor Code, 21.501 and 502.

3.4 — Time and Leave

6 record series

SFA3.4.1**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.

RETENTION

Keep through the end of the fiscal year, then retain for 3 additional years.

Official retention code: FE + 3

SFA3.4.2**Leave Status Reports**

Cumulative reports are issued each pay cycle and provide employee leave status information for each position.

RETENTION

Keep through the end of the fiscal year, then retain for 3 additional years.

Official retention code: FE + 3

SFA3.4.4**Overtime Schedules and Authorizations**

Records created to schedule time worked by employees outside of or in addition to their regular working hours, including approval authorizations.

RETENTION

Keep for 2 years.

Official retention code: 2

CAUTION

Only includes overtime schedules and authorizations. See AIN SFA3.4.6 for timekeeping records.

SFA3.4.6**Time and Attendance Records**

Records documenting individual employee's hours worked, including work schedules and documentation evidencing adherence to or deviation from normal hours for those employees working on fixed schedules.

RETENTION

Keep for 4 years.

Official retention code: 4

LEGAL CITATIONS

40 TAC 815.106(i).

SFA3.4.7**Time Off and/or Sick Leave Requests**

Requests and authorizations for vacation, compensatory, sick, Family and Medical Leave Act (FMLA), sick pool leave, and other types of authorized leave, and supporting documentation.

RETENTION

Keep through the end of the fiscal year, then retain for 3 additional years.

Official retention code: FE + 3

LEGAL CITATIONS

Government Code, Section 661.152(d); 29 CFR 825.500(b).

SFA3.4.8**Sick Leave Pool Documentation**

Records documenting number of hours transferred in and out of comprehensive sick leave pool.

RETENTION

Keep through the end of the fiscal year, then retain for 3 additional years.

Official retention code: FE + 3

4 — Fiscal Records

[Back to contents](#)

4.1 — General Accounting Records

3 record series

SFA4.1.1**Accounts Payable Information**

Claims; invoices; statements; copies of checks and purchase orders; expenditure authorizations; ledgers; encumbrance, purchase, general journal, expenditure, and special vouchers; and similar records that serve to document disbursements, including those documenting claims for and reimbursement to employees for travel and other expenses.

RETENTION

Keep through the end of the fiscal year, then retain for 3 additional years.

Official retention code: FE + 3

SFA4.1.6**Investment Transaction Files**

Records documenting the investment of any public funds that evidence the investment of such funds, the cancellation or withdrawal of investments, and similar activities.

RETENTION

Keep through the end of the fiscal year, then retain for 5 additional years.

Official retention code: FE + 5

NOTES

See AIN SFA4.5.2 for reports associated with investments.

SFA4.1.9**Accounts Receivable Information**

Bill copies or stubs, statements, billing registers, account cards, deposit warrants, cash receipts, credit card receipts, receipts books, cash transfers, daily cash reports, reconciliations, general journal vouchers, special vouchers, and similar records that serve to document money owed to or received by a state agency and its collection or receipt.

RETENTION

Keep through the end of the fiscal year, then retain for 3 additional years.

Official retention code: FE + 3

4.5 — Fiscal and Financial Reports

5 record series

SFA4.5.2**Fiscal Management Reports**

Internal and external periodic fiscal management reports and associated worksheets, including federal financial reports, salary reports, HUB reports, investment performance reports, etc.

RETENTION

Keep through the end of the fiscal year, then retain for 5 additional years.

Official retention code: FE + 5

CAUTION

This series does not include fiscal reports created to fulfill grant requirements. See AIN SFA4.7.8a/b.

SFA4.5.3

Archival, send to University Archivist

Annual Financial Reports

Annual Financial Reports (AFR) required by the General Appropriations Act (100 Day Report).

RETENTION

Keep for 6 years after September 1 of odd-numbered calendar years.

Official retention code: AC + 6

ARCHIVES NOTE

The final version of Annual Financial Reports must be submitted to the University Archivist. Working files and related documentation used in creating the final report are not subject to archival review and may be disposed of at the expiration of the retention period.

CAUTION

If an agency does not produce a biennial or annual narrative report as described in AIN SFA1.1.66, then these annual financial reports must be treated as archival. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the University Archivist and the Texas State Publications Depository Program, Texas State Library and Archives Commission.

SFA4.5.7**USAS Reports - Daily/Monthly**

Periodic reports compiled from information entered into the Uniform Statewide Accounting System (USAS).

RETENTION

Keep until receipt and reconciliation of annual report.

Official retention code: AC

SFA4.5.9**USAS Reports - Annual**

Yearly report compiled from information entered into the Uniform Statewide Accounting System (USAS).

RETENTION

Keep through the end of the fiscal year, then retain for 3 additional years.

Official retention code: FE + 3

SFA4.5.10**Unclaimed Property Reports and Documentation**

Sufficient records to verify information on unclaimed property previously reported to the State Comptroller showing the name and last known address of the apparent owner of reportable unclaimed property, a brief description of the property, and the balance of each unclaimed account, if appropriate.

RETENTION

Keep for 10 years after the date on which property is reportable.

Official retention code: AC + 10

LEGAL CITATIONS

Property Code, Section 74.103(b).

4.7 — Other Fiscal

10 record series

SFA4.7.1**Accounting Policies and Procedures Manual**

Records documenting the internal and external procedural requirements with respect to the accounting department of a state agency.

RETENTION

Keep for 3 years after being superseded.

Official retention code: US + 3

SFA4.7.3

Uncollectible Accounts

Records of accounts deemed uncollectible, including write-off authorizations and returned checks, warrants, and drafts.

RETENTION

Keep for 3 years after the date account deemed uncollectable.

Official retention code: AC + 3

SFA4.7.4

Capital Asset Records

Documentation relating to the capital and fixed assets of a state agency, including equipment or property history cards containing data on initial cost, depreciation schedules or summaries used for capital outlay budgeting, and property sale, auction, or disposal records of agency-owned equipment and property.

RETENTION

Keep for the life of the asset, then retain for 3 additional years.

Official retention code: LA + 3

SFA4.7.5

Claim Files

Records documenting requests for payment of a sum of money according to the terms of a policy or contract.

RETENTION

Keep for 3 years after resolution of claim.

Official retention code: AC + 3

SFA4.7.8a

Grant Records - Awarded

This series documents state, federal, and other sponsored grant projects participated in or administered by state agencies. It includes grant authorization records, which provide evidence of the award of grants to or by agencies; grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by agencies.

RETENTION

Keep for 3 years after satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).

Official retention code: AC + 3

CAUTION

Retention requirements may vary depending on the specific funding agency. Records in this series may be subject to Government Code 441.1855. Agencies must ensure that records are retained for the appropriate retention period.

SFA4.7.8b**Grant Records - Non-Awarded**

Non-awarded, denied, or unfunded grant applications and proposals.

RETENTION

Keep for 2 years after the date of notification.

Official retention code: AC + 2

SFA4.7.10**Long-Term Liability Records**

Records documenting financial obligations of a state agency that are not payable within one year of the date of the balance sheet, including debentures, loans, deferred tax liabilities, bonds, and pension obligations.

RETENTION

Keep for 3 years after retirement of debt.

Official retention code: AC + 3

SFA4.7.12**Signature Authorizations**

Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.

RETENTION

Keep for 4 years after whichever occurs first: the authorization is superseded, the authorization expires, or the employee separates from employment.

Official retention code: AC + 4

SFA4.7.13**Federal Tax Information (FTI) Audit Logs**

Logs documenting requests and receipt of FTI, including any information created by the recipient that is derived from federal return or return information received from the IRS or obtained through a secondary source.

RETENTION

Keep for 5 years.

Official retention code: 5

LEGAL CITATIONS

IRS Publication 1075.

SFA4.7.14

Indirect Cost Plans

Indirect cost plan and supporting documentation created or maintained in the development of the plan.

RETENTION

Keep for 3 years after the plan is submitted for rate negotiation. If it is not submitted for negotiation, keep for 3 years after the end of the fiscal year covered by the proposal, plan, or computation.

Official retention code: AC + 3

LEGAL CITATIONS

2 CFR 200.333(f)(1) and (2).

4.8 — Banking Records

1 record series

SFA4.8.1

Banking Records

Bank statements, credit card statements, cancelled checks, check registers, deposit slips, debit and credit notices, reconciliations, and other banking related records.

RETENTION

Keep through the end of the fiscal year, then retain for 3 additional years.

Official retention code: FE + 3

4.9 — Budgeting

1 record series

SFA4.9.1

Annual Operating Budgets

Required by the General Appropriations Act. Includes encumbrances and documentation about budget transfers and revisions, as well as detail charts of accounts.

RETENTION

Keep through the end of the fiscal year, then retain for 3 additional years.

Official retention code: FE + 3

5 — Support Services Records

[Back to contents](#)

5.1 — General

15 record series

SFA5.1.1a

Contract Administration Files - 9/1/2015 and After

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, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.

Executed, renewed, or amended on or after September 1, 2015.

RETENTION

Keep for 7 years after expiration or termination of the instrument according to its terms.

Official retention code: AC + 7

NOTES

See related AIN SFA5.3.7a/b/c for bid documentation. See AIN SFA5.2.28 for building construction contracts. See AIN SFA5.1.17 for contract logs.

LEGAL CITATIONS

Government Code, 441.1855.

SFA5.1.1b

Contract Administration Files - 8/31/2015 and Prior

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, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.

Executed, renewed, or amended on or before August 31, 2015.

RETENTION

Keep for 4 years after expiration or termination of the instrument according to its terms.

Official retention code: AC + 4

NOTES

See related AIN SFA5.3.7a/b/c for bid documentation. See AIN SFA5.2.28 for building construction contracts. See AIN SFA5.1.17 for contract logs.

NOTE: Refer to SB20 (84th Leg.) for retention period context.

LEGAL CITATIONS

Government Code, 441.1855.

SFA5.1.3**Delivery Reports**

Records documenting incoming or outgoing deliveries, including through private courier services.

RETENTION

Keep for 2 years.

Official retention code: 2

SFA5.1.4**Mail and Telecommunications Listings**

Any mailing address, telephone or fax number, or email address records maintained by an agency on its employees or on entities or persons it serves.

RETENTION

Keep until superseded.

Official retention code: US

SFA5.1.5**Postage Records**

Records and reports of postage expenses, including postal meter usage.

RETENTION

Keep through the end of the fiscal year, then retain for 3 additional years.

Official retention code: FE + 3

SFA5.1.7**Requisitions for In-Agency/Inter-Agency Copy/Printing Service**

Includes word processing and data processing.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

SFA5.1.10**Licenses and Permits for Non-vehicles**

Licenses and permits obtained from external agencies or organizations in order to perform operations.

RETENTION

Keep for 2 years after expiration date of license or permit.

Official retention code: AC + 2

CAUTION

Does not include licenses and permits issued by an agency as part of its statutory responsibilities.

SFA5.1.11**Photocopier and Telefax Usage Logs and Reports**

Registers or logs of print copies and fax transmissions made by user or in total.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

SFA5.1.12**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.

RETENTION

Keep for 3 years after being superseded.

Official retention code: US + 3

SFA5.1.13a**Insurance Policies - 9/1/2015 and After**

Liability, theft, fire, health, life, automobile, and other policies for government property and personnel including supporting documentation relevant to the implementation, modification, renewal, or replacement of policies. Executed, renewed, or amended on or after September 1, 2015.

RETENTION

Keep for 7 years after expiration or termination of the policy according to its terms.

Official retention code: AC + 7

NOTES

NOTE: Refer to SB20 (84th Leg.) for retention period context.

LEGAL CITATIONS

Government Code, 441.1855.

SFA5.1.13b**Insurance Policies - 8/31/2015 and Prior**

Liability, theft, fire, health, life, automobile, and other policies for government property and personnel including supporting documentation relevant to the implementation, modification, renewal, or replacement of policies. Executed, renewed, or amended on or before August 31, 2015.

RETENTION

Keep for 4 years after expiration or termination of the policy according to its terms.

Official retention code: AC + 4

NOTES

NOTE: Refer to SB20 (84th Leg.) for retention period context.

LEGAL CITATIONS

Government Code, 441.1855.

SFA5.1.14**Office Procedures**

Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency, e.g., agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.

RETENTION

Keep for 1 year after being superseded.

Official retention code: US + 1

SFA5.1.15**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.

RETENTION

Keep for 1 year.

Official retention code: 1

SFA5.1.17**Contract Log**

List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.

RETENTION

Keep through the end of the fiscal year, then retain for 3 additional years.

Official retention code: FE + 3

SFA5.1.18**Surveillance Videos**

Surveillance videos of buildings, facilities, vehicles, or other state property.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

NOTES

See AIN SFA5.4.1 or SFA5.4.14a/b if video is needed for an accident investigation or AIN SFA1.1.48 if the video is needed as evidence in litigation.

The disposal of surveillance videos need not be documented through destruction signoffs (AIN SFA1.2.1) or in records disposition logs (AIN SFA1.2.10).

5.2 — Facility Management

21 record series

SFA5.2.1

Archival, send to University Archivist

Appraisals - Building or Property

Assessments or evaluations of the value of state-owned buildings or property.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

SFA5.2.1a

Archival, send to University Archivist

Deeds and Easements

Deeds, easements, and accompanying records relating to state-owned property.

RETENTION

Keep for the life of the asset, then retain for 10 additional years.

Official retention code: LA + 10

SFA5.2.2

Archival, send to University Archivist

Building Construction Project Files

Project records related to planning, design, construction, conversion, or modernization of state facilities, structures, infrastructure, and systems, including feasibility, screening, and implementation studies; topographical and soil surveys and reports; as-builts; laboratory test reports; environmental impact statements; correspondence; successful and unsuccessful bid documentation and other related documentation.

RETENTION

Keep for 10 years after completion of project.

Official retention code: AC + 10

NOTES

See AIN SFA5.2.3a/b and SFA5.2.28 for further retention of completed building documentation. See AIN SFA5.3.7a/b for additional bid documentation retention periods, including AIN SFA5.3.7c for invalid bids that do not meet agency submission requirements.

ARCHIVES NOTE

Archival review designation is for state-owned buildings only.

SFA5.2.3a

Archival, send to University Archivist

Building Plans and Specifications - State-Owned

Includes architectural and engineering drawings, profiles, and blueprints of planning, design, construction, conversion, or modernization of state-owned facilities, structures, infrastructure, and systems.

RETENTION

Keep until the asset is disposed of.

Official retention code: LA

NOTES

See also AINs SFA5.2.2 and SFA5.2.28.

SFA5.2.3b

Building Plans and Specifications - Leased

Includes architectural and engineering drawings, profiles, and blueprints of planning, design, construction, conversion, or modernization of leased facilities, structures, infrastructure, and systems.

RETENTION

Keep for 2 years after termination or cancellation of lease according to its terms.

Official retention code: AC + 2

NOTES

See also AINs SFA5.2.2 and SFA5.2.28.

SFA5.2.4

Building Space Requests

Records documenting building space requests and approvals. Information on request forms may include but is not limited to: the building and room; the reason for the change; parties involved in the request; date of request and approval.

RETENTION

Keep for 1 year.

Official retention code: 1

SFA5.2.5

Calibration Records (Equipment or Instrument)

Records documenting the determination, checking, or rectifying of any instrument giving quantitative measurements.

RETENTION

Keep for 10 years.

Official retention code: 10

CAUTION

Some equipment and instruments may require a longer retention period. State agencies must determine if a longer retention period is required based on the type of equipment or instruments they use within their agency.

SFA5.2.6

Inventory and Property Control Records

Records documenting the inventorying, maintenance, usage, checkout, and disposal of supplies, equipment, and property of a state agency. Includes lost, stolen, and damage reports.

RETENTION

Keep through the end of the fiscal year, then retain for 3 additional years.

Official retention code: FE + 3

NOTES

See AIN SFA5.2.8 for the maintenance logs of individual pieces of equipment.

SFA5.2.8

Inspection, Repair, and Maintenance Records - Equipment

Equipment history file, which may include logbooks and requests for installation, moves, service, repair, etc.

RETENTION

Keep for the life of the asset, then retain for 3 additional years.

Official retention code: LA + 3

NOTES

For service agreements or contracts related to equipment repairs and service, retain in accordance with AIN SFA5.1.1a/b. For vehicle maintenance records, see AIN SFA5.6.3.

SFA5.2.10

Equipment Manuals

RETENTION

Keep until the asset is disposed of.

Official retention code: LA

SFA5.2.11

Equipment Warranties

RETENTION

Keep for 1 year after expiration of warranty.

Official retention code: AC + 1

SFA5.2.12

Estimate Files (Supply and Repair Cost Estimates)

Quotes for minor construction and repair projects and supplies. Includes supporting documentation, as applicable.

RETENTION

Keep for 1 year.

Official retention code: 1

SFA5.2.16

Inventory System Update Listings

Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.

RETENTION

Keep until transfer of information into annual listing.

Official retention code: AC

NOTES

See AIN SFA5.2.6 for annual inventory listing.

SFA5.2.18

Quality Control Reports

Documentation and reporting on adherence to procedures that ensure quality of a process, product, or service.

RETENTION

Keep for 2 years.

Official retention code: 2

NOTES

See SFA2.2.13 for quality control records related to IT procedures.

SFA5.2.19

Service Orders

Requests or work orders for repairs or maintenance to facilities, vehicles, or equipment completed by internal agency personnel or external service providers.

RETENTION

Keep for 1 year.

Official retention code: 1

SFA5.2.22

Utility Usage Reports

Any type of usage report or log used to monitor utilities such as gas, electric, water, etc.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

CAUTION

Does not include utility usage reports for agencies that operate their own utilities.

SFA5.2.24

Equipment Descriptions and Material Specifications

Equipment and material descriptions and specifications that may include but are not limited to detailed descriptions; lists of raw materials and ingredients; physical characteristics of items; special handling procedures; or technical drawings.

RETENTION

Keep for 2 years after equipment or material is no longer in the agency.

Official retention code: AC + 2

SFA5.2.26

Facilities Reservation Logs

Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.

RETENTION

Keep for 2 years.

Official retention code: 2

SFA5.2.27

Space Utilization Reports

Reports summarizing efficiency of facility space utilization, which may include data on room usage, demand, allocation, and capacity.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

SFA5.2.28

Archival, send to University Archivist

Building Construction Contract and Inspection Records

Building construction contracts, surety bonds, and inspection records.

RETENTION

Keep for the life of the asset, then retain for 10 additional years.

Official retention code: LA + 10

NOTES

See also AIN SFA5.2.2 and SFA5.2.3a/b.

SFA5.2.29

Returned Mail

Documentation of mail returned by the postal or other mail delivery services as undeliverable.

RETENTION

Keep for 1 year after the date returned.

Official retention code: AC + 1

CAUTION

If a corrected address is provided and mail is rerouted, maintain address update documentation for the prescribed retention period.

5.3 — Purchasing

8 record series

SFA5.3.3

Freight Claims

Freight or cargo claims against carrier for damage or loss to a shipment.

RETENTION

Keep for 2 years after resolution of claim.

Official retention code: AC + 2

LEGAL CITATIONS

43 TAC 218.61(d); 49 USC 14706(e).

SFA5.3.4

Shipping Information

Shipping information, including order acknowledgements, packing slips, and related documentation.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

CAUTION

Some shipping information may require a longer retention period. State agencies must determine if a longer retention period is required based on the type of materials shipped to or from their agency.

SFA5.3.7a

Bid Documentation - 9/1/2015 and After

Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, awarded and unawarded bids, and bid tabulation/evaluations.

Associated with a contract executed, renewed, or amended on or after September 1, 2015.

RETENTION

Keep for 7 years after the resulting contract or other instrument expires or terminates according to its terms. If the procurement does not proceed, keep for 7 years after the decision not to proceed.

Official retention code: AC + 7

LEGAL CITATIONS

Government Code, 441.1855.

SFA5.3.7b**Bid Documentation - 8/31/2015 and Prior**

Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, awarded and unawarded bids, and bid tabulation/evaluations.

Associated with a contract executed, renewed, or amended on or before August 31, 2015.

RETENTION

Keep through the end of the fiscal year, then retain for 3 additional years.

Official retention code: FE + 3

NOTES

NOTE: Refer to SB20 (84th Leg.) for retention period context.

LEGAL CITATIONS

Government Code, 441.1855.

SFA5.3.7c**Bid Documentation - Invalid Bids**

Invalid 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.)

RETENTION

Keep for 2 years after the bidder is notified of denial, or after the bid is withdrawn, as applicable.

Official retention code: AC + 2

SFA5.3.8**Purchasing Logs**

Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.

RETENTION

Keep through the end of the fiscal year, then retain for 3 additional years.

Official retention code: FE + 3

SFA5.3.9**Requests for Information**

Requests for information preliminary to the procurement of goods or services by direct purchase or bid

RETENTION

Keep until decision not to proceed with the procurement.

Official retention code: AC

NOTES

See AIN SFA1.1.20 and SFA1.1.21 for public information requests.

CAUTION

If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with AIN SFA5.3.7a/b/c.

SFA5.3.10**Vendor Records/W-9**

W-9 IRS Form used to request a taxpayer identification number (TIN) for reporting information to the Internal Revenue Service (IRS). This includes W-9 forms received by a state agency from vendors.

RETENTION

Keep for 3 years after the date account is opened or date instrument purchased.

Official retention code: AC + 3

LEGAL CITATIONS

26 CFR 31.3406(h)-3(g).

5.4 — Risk Management

20 record series

SFA5.4.1**Occupational Accident Reports and Associated Documentation**

Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the State Office of Risk Management (SORM) or its predecessors or maintained internally on accident frequency.

RETENTION

Keep through the end of the calendar year, then retain for 5 additional years.

Official retention code: CE + 5

NOTES

See AIN SFA5.4.14a/b for non-employee accidents.

LEGAL CITATIONS

29 CFR 1904.33; 28 TAC 120.1(c).

SFA5.4.2**Evacuation Plans**

Plans for evacuation of agency facilities in cases of emergency.

RETENTION

Keep until superseded.

Official retention code: US

SFA5.4.3

Safety, Drill, and Inspection Records

Fire, safety, emergency drill, alarm, and other inspection records of agency facilities and equipment, including orders issued by inspectors to correct deficiencies in compliance with any code or regulations.

RETENTION

Keep for 3 years after the applicable event: the drill, alarm, or inspection, or the correction of any identified deficiency.

Official retention code: AC + 3

CAUTION

Does not include inspection reports of building construction. See AIN SFA5.2.28.

SFA5.4.7

Hazardous Materials Training Records

Records of training given to employees in an agency hazard communications program. May include but is not limited to date of class, roster of attendees, subjects covered, and instructors.

RETENTION

Keep for 5 years.

Official retention code: 5

NOTES

See AIN SFA3.1.27 for individual employee training records.

LEGAL CITATIONS

Texas Health and Safety Code, 502.009(g).

SFA5.4.8

Hazard Communication Plans

Plan that provides information to employees about the hazardous chemicals to which they may be exposed to in their workplace.

RETENTION

Keep for 5 years after being superseded.

Official retention code: US + 5

LEGAL CITATIONS

Texas Health and Safety Code, 502.009(g).

SFA5.4.9

Workplace Chemical Lists

List of each hazardous chemical normally present in the workplace.

RETENTION

Keep for 30 years.

Official retention code: 30

LEGAL CITATIONS

Texas Health and Safety Code, 502.005(d).

SFA5.4.9aa

Pesticide Application Records

RETENTION

Keep for 3 years.

Official retention code: 3

SFA5.4.9bb

Laboratory Logs

Logs or registers or toxicological, histological or other laboratory tests and procedures performed.

RETENTION

Keep for 2 years.

Official retention code: 2

SFA5.4.10

Safety Data Sheets

Safety Data Sheets (SDS) that list information relating to occupational safety and health for the use of various substances and products.

RETENTION

Keep until the Safety Data Sheet is updated or the hazardous chemical is no longer stored by the university, as applicable.

Official retention code: AC

CAUTION

If Workplace Chemical Lists (AIN SFA5.4.9) are not maintained, these records must be maintained for 30 years.

LEGAL CITATIONS

29 CFR 1910.1020(d)(1)(ii)(B).

SFA5.4.11

Visitor Control Registers

Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.

RETENTION

Keep for 3 years.

Official retention code: 3

SFA5.4.12

Security Access Records

Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency facilities, equipment or automated systems.

RETENTION

Keep for 2 years after whichever occurs first: the access authorization is superseded, expires, or is terminated.

Official retention code: AC + 2

SFA5.4.13

Continuity of Operations Plans (COOP)

Plans developed (per Texas Labor Code, 412.054) to mitigate the damage of potential events that could endanger an agency's ability to function. Includes disaster preparedness, response, and recovery plans.

RETENTION

Keep until superseded.

Official retention code: US

NOTES

See AIN SFA5.4.17 for records related to responding or recovering from an emergency.

SFA5.4.14a

Accident Reports - Adults

Reports of accidents to adults on state property or in any other situation in which the state agency could be a party to a lawsuit.

RETENTION

Keep for 3 years after the date of the accident report. If a claim is filed, keep for 3 years after the claim is settled or denied.

Official retention code: AC + 3

SFA5.4.14b

Accident Reports - Minors

Reports of accidents to minors on state property or in any other situation in which the state agency could be a party to a lawsuit.

RETENTION

Keep for 3 years after the minor reaches the age of majority. If a claim is filed, keep for 3 years after the claim is settled or denied.

Official retention code: AC + 3

SFA5.4.15**Hazardous Materials - Administrative Records**

This series documents the use of hazardous carcinogenic compounds, building by building survey and plan to correct asbestos and other material hazards. This series may include but is not limited to: surveys; monitoring tests and reports; data forms; building plans; correction checklists; removal job records; research protocols; lists of carcinogenic compounds used; environmental, biological, and material safety monitoring reports concerning toxic substances and harmful physical agents in the workplace, including analyses derived from such reports.

RETENTION

Keep for 30 years after the date of project or research completion.

Official retention code: AC + 30

NOTES

See AIN SFA5.4.16a/b for hazardous material exposure records.

LEGAL CITATIONS

29 CFR 1910.1001; 29 CFR 1910.1020(d)(ii); 25 TAC 295.62(a).

SFA5.4.16a**Hazardous Materials - Employee Exposure Records**

Environmental, biological, and material safety monitoring reports, including health or physical examination reports or certificates of employees, who have experienced exposure to toxic substances, harmful physical agent, or bloodborne pathogens in the workplace, including analyses derived from such reports.

RETENTION

Keep for 30 years after termination of employment.

Official retention code: AC + 30

LEGAL CITATIONS

29 CFR 1910.1020(d); 29 CFR 1910.1001; 29 CFR 1910.1020(d)(1)(ii).

SFA5.4.16b**Hazardous Materials - Periodic Monitoring**

Environmental, biological, and material safety monitoring reports, including health or physical examination reports or certificates of employees, for whom periodic monitoring of health or fitness is required concerning toxic substances, harmful physical agent, or bloodborne pathogens in the workplace, including analyses derived from such reports.

RETENTION

Keep for 2 years after being superseded.

Official retention code: US + 2

LEGAL CITATIONS

29 CFR 1910.1020(d); 29 CFR 1910.1001; 29 CFR 1910.1020(d)(1)(ii).

SFA5.4.17

Archival, send to University Archivist

Emergency Response and Recovery Records

This series documents the events and damages to institutional property due to storms, riots, fires, droughts, floods, and other events affecting citizens and facilities within the jurisdiction of the institution. This series may include but is not

limited to: diaries; logs; reports; photographs; notes which indicate or document what happened, when, and where; and related documentation and correspondence.

RETENTION

Keep for 3 years.

Official retention code: 3

NOTES

See AIN SFA5.4.13 for Continuity of Operations Plans (COOP).

CAUTION

If grant monies are received to assist with the response or recovery, the retention requirements for this series may vary depending on the specific funding agency.

SFA5.4.18

Annual Audit Plan

Includes working papers and agency risk assessment used to develop the plan, per Texas Internal Auditing Act requirement.

RETENTION

Keep for 7 years after final plan has been issued.

Official retention code: AC + 7

NOTES

See AIN SFA1.1.2 for individual Audit records not related to the development of the Audit Plan.

LEGAL CITATIONS

Government Code, 2102.013.

SFA5.4.19

Audit Peer Review - Working Papers

Documents collected or generated as part of the process of reviewing other state agency internal audit programs. Includes but is not limited to: self-assessments, worksheets, surveys or questionnaires, evaluations, and other documents as described in the State Agency Internal Audit Forum (SAIAF) Peer Review Manual.

RETENTION

Keep for 1 year after final report has been issued.

Official retention code: AC + 1

NOTES

See AIN SFA1.1.2 for individual Audit records not related to the peer review of an Audit Plan.

LEGAL CITATIONS

Government Code, 2102.007(a)(5).

5.5 — Telecommunications

2 record series

SFA5.5.2

Telephone Activity Records

Telephone logs created for internal documentation purposes; station activity reports of internal listings of incoming/outgoing telephone activity to individual telephone stations; operator call transfers; summary detail reports; and system activity reports of internal listings of all incoming/outgoing agency telephone activity.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

NOTES

See AIN SFA4.1.1 for telephone bills.

SFA5.5.7

Disputed Call Documentation

Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use.

RETENTION

Keep through the end of the fiscal year in which the dispute is resolved or repayment is made, then retain for 3 additional years.

Official retention code: AC + 3

5.6 — Vehicles

8 record series

SFA5.6.1a

Aircraft Flight Logs - State-Owned

Logs and related documentation used to maintain information about state-owned aircraft flight data.

RETENTION

Keep for the life of the asset, then retain for 3 additional years.

Official retention code: LA + 3

SFA5.6.1b

Aircraft Flight Logs - Leased

Logs and related documentation used to maintain information about leased aircraft flight data.

RETENTION

Keep through the end of the fiscal year, then retain for 3 additional years.

Official retention code: FE + 3

SFA5.6.2**Aircraft Passenger Lists**

List of passengers on an aircraft.

RETENTION

Keep through the end of the fiscal year, then retain for 3 additional years.

Official retention code: FE + 3

SFA5.6.3**Inspection, Repair, and Maintenance Records - Vehicles**

Records and documentation related to inspections, repairs, and maintenance for state vehicles.

RETENTION

Keep for the life of the asset, then retain for 1 additional year.

Official retention code: LA + 1

NOTES

See AIN SFA5.2.8 for non-vehicle equipment maintenance records.

SFA5.6.4**License and Driving Record Checks****RETENTION**

Keep until superseded or until separation of employment.

Official retention code: AC

SFA5.6.5**Vehicle Use Reports**

Includes mileage, fuel/oil consumption, passengers carried and other related operational information.

RETENTION

Keep through the end of the fiscal year, then retain for 3 additional years.

Official retention code: FE + 3

SFA5.6.7**Vehicle Titles and Registrations**

Vehicle titles, registration information, and owner manuals for state vehicles.

RETENTION

Keep until the asset is disposed of.

Official retention code: LA

SFA5.6.9**Parking Permits or Assignments**

Records documenting issuance of parking permits and assignments.

RETENTION

Keep until superseded.

Official retention code: US

NOTES

See AIN SFA4.1.9 for payment of permit fees.

11 — University Administrative Records

[Back to contents](#)

11.1 — General University Administrative Records

10 record series

SFA11.1.1

Archival, send to University Archivist

Alumni Association Program Records

Records documenting the implementation of programs administered by the office such as marketing products, credit cards, insurance, dues information, and football tickets.

RETENTION

Keep for 5 years.

Official retention code: 5

SFA11.1.2

Archival, send to University Archivist

Alumni Records

Alumni affair records. May include but not limited to: lists of alumni club members, degree recipients, or class officers; minutes, bylaws and directories of clubs; and promotional materials concerning annual gatherings, homecoming, and alumni services.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

NOTES

See AIN SFA5.1.4 for alumni mailing list.

SFA11.1.3**Archival, send to University Archivist**

Award Administration and History Records

Records documenting the administration, rules, and history of awards, fellowships, and scholarships based on merit or achievement. May include but not limited to: eligibility terms and selection criteria; award history and information on funding sources; award notifications; summary lists of winners, and biographies of winners.

RETENTION**Keep until termination of award.***Official retention code: AC***ARCHIVES NOTE**

Only institutional awards merit archival review. Department-level awards do not need to be reviewed for archival value.

See AIN SFA1.1.19 for press releases.

See AIN SFA11.1.4 for award selection committee records.

SFA11.1.4

Award Selection Records

Selection committee records for institutional faculty, staff, students, and alumni considered for awards, fellowships, and scholarships based on merit or achievement. May include but not limited to: applications and supporting documents; letters of award notification, acceptance, or denial; vote tallies and ranking sheets.

RETENTION**Keep for 2 years.***Official retention code: 2***NOTES**

See AIN SFA3.1.37 for records of an employee receiving an award.

See AIN SFA11.1.3 for award administration and history records.

SFA11.1.6

Event Administration Records - Routine

Records created in the planning or administration of routine events, such as: reports; promotional materials; press releases and news clippings; photographs; presentation materials; schedules of speakers and activities; registration and attendance lists; participant evaluations; room reservation lists; and catering services orders.

RETENTION**Keep for 1 year after completion of the event.***Official retention code: AC + 1***CAUTION**

Use this records series in conjunction with SFA Section 4.1 for financial records, AIN SFA5.1.1a/b for written agreements or contracts, and SFA Section 5.3 for purchasing records. See AIN SFA11.1.7 for records of special events.

SFA11.1.7

Archival, send to University Archivist

Event Administration Records - University Special Events

Materials related to the planning and arrangement of informative sessions, special lecture series, lectureships, short-courses, workshops, training programs, excursions, and celebratory events for members of the institution and the communities it serves. May include but not limited to: promotional and publicity materials; press releases and news clippings; photographs; presentation materials and handouts; honoraria records; schedules of speakers and activities; registration and attendance lists; participant evaluations; and related documentation and correspondence.

RETENTION

Keep for 4 years after completion of the event.

Official retention code: AC + 4

NOTES

See AIN SFA11.1.6 for routine event administration records.

SFA11.1.10

Permit and License Issuance

Issuance of permits and licenses by the institution for sales, solicitation, facility usage, and similar activities.

RETENTION

Keep for 2 years after expiration, cancellation, revocation, or denial.

Official retention code: AC + 2

CAUTION

See AIN SFA5.6.9 for parking permits.

See AIN SFA16.4.1 for alcoholic beverage control records.

SFA11.1.13

Archival, send to University Archivist

Subject Files - Executive

Subject files documenting the executive actions of a state university. The series includes information in the form of correspondence and memoranda, policy statements, organization and program development records, reports concerning accreditation requirements, budget material, faculty and student relations, personnel matters, tenure and salary issues, physical plant development, grant awards, research programs, foundation endowments, fiscal accountability, academic requirements, student athletic issues, and other related topics. These records reflect administration of policies, coordination of institution functions, and overall management of major divisions and departments of a state university.

RETENTION

Keep for 4 years.

Official retention code: 4

SFA11.1.14

Archival, send to University Archivist

Subject Files - Media and Communications

Subject files providing background information on institutional faculty and staff, buildings, events, traditions, and other special topics that document a university's history and culture. The records may be used to support research, in responses to inquiries, and other purposes. May include but not limited to: newspaper clippings; photographs;

published and unpublished historical sketches; pamphlets; statistics; ephemera; biographical sketches; vitae; videos; personal history data sheets; retirement notices; funeral programs; and obituaries.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

NOTES

See AIN SFA1.1.19 for press releases.

See AIN SFA1.1.20/SFA1.1.21 for Public Information Requests.

See AIN SFA1.1.57 for classification of materials that are weeded out (as unusable, almost-duplicates, etc.)

SFA11.1.15

Archival, send to University Archivist

University Committee Records

Records of standing, advisory, and ad hoc committees and councils made up of members from a department, a college, a variety of units, or an office where policies and procedures are set. May include but not limited to: agendas; meeting minutes; reports; discussion of research and raw data; working papers; and related documentation and correspondence.

RETENTION

Keep for 3 years.

Official retention code: 3

CAUTION

Federal or state regulations may require longer retention periods. The university must consider any applicable federal or state regulations in establishing a retention period for each committee's records.

See AIN SFA1.1.63 for Staff Meeting Minutes and Notes.

See Section 17.3 for review board records related to research.

12 — University Personnel Records

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12.1 — Employee Records

6 record series

SFA12.1.1

Archival, send to University Archivist

Faculty Tenure Records

Evaluations, recommendations, and similar documentation relating to the review process for tenure for all faculty or staff in the tenure track.

RETENTION

Keep for 2 years after the date of the making of the record or the personnel action involved, whichever occurs later.

Official retention code: AC + 2

CAUTION

The retention period should be longer if a university's tenure review cycle requires it.
For employment performance and appraisal records, see SFA Section 3.1.

LEGAL CITATIONS

29 CFR 1602.49.

SFA12.1.2**International Scholars Records - J-1 Exchange Visitor Files**

Documentation of the short-term appointment of nonimmigrant international scholars as visiting faculty, specialists, researchers, and trainees. May include but not limited to: Form DS-2019, and related documentation such as: descriptions of work to be performed; methods of financial support; copies of passports; check-in forms; and telephone log sheets.

RETENTION

Keep for 3 years after the end of participation in program.

Official retention code: AC + 3

LEGAL CITATIONS

22 CFR 62.10(g).

SFA12.1.3**International Scholars Records - Immigrant Petition File**

Includes documentation of an institution's sponsorship of an applicant using United States Citizenship and Immigration Services (USCIS) Form I-140 (Immigrant Petition for Alien Worker).

RETENTION

Keep for 5 years after whichever occurs earlier: the applicant is granted lawful permanent residence by USCIS or the applicant is no longer employed by the institution.

Official retention code: AC + 5

LEGAL CITATIONS

8 CFR 204.5.

SFA12.1.4**International Scholars Records - Labor Certification (PERM)**

Application and approval of international scholars for permanent immigrant status. May include but not limited to: Application for Permanent Employment Certifications (Department of Labor (DOL) Form ETA 9089); Application for Alien Employment Certification (DOL Form ETA 750); recruitment reports; copy of job advertisement in national professional journal; and wage determinations.

RETENTION

Keep for 5 years after the date of filing.

Official retention code: AC + 5

LEGAL CITATIONS

20 CFR 656.10(f), 29 CFR 1602.49.

SFA12.1.5**International Scholars Records - Nonimmigrant Visa Petition Files**

Includes both internal documents and forms submitted and inspected by the U.S. Citizenship and Immigration Services (USCIS), including Form I-129, Petition for a Nonimmigrant Worker and related materials for H1-B, H-1B1, and E-3 visas.

RETENTION

Keep for 1 year after the date individual no longer employed by the institution in sponsored nonimmigrant status or application is withdrawn.

Official retention code: AC + 1

LEGAL CITATIONS

20 CFR 655.760(c), 8 USC 1184.

SFA12.1.7**Tax Documentation for International Scholars**

Tax documentation for international students' and scholars' acquisition of social security numbers. May include but not limited to: social security number applications; statements of information; photocopies of social security cards; and related documentation.

RETENTION

Keep for 3 years after the date of application.

Official retention code: AC + 3

12.2 — Personnel Administration

1 record series

SFA12.2.1**International Scholars Exchange Program Administration Records**

International exchange visitor selection records, pre-arrival information provided to visitors, program orientation materials, and monitoring of visitors and their dependents.

RETENTION

Keep for 3 years.

Official retention code: 3

LEGAL CITATIONS

22 CFR 62.10(g).

12.3 — Time and Leave

1 record series

SFA12.3.1

Timecards and Time Sheets - Work-Study Students

Timecards, time sheets, and work-study time certificates documenting hours worked by work-study student employees. The series is used for payroll purposes and to meet federal requirements for documenting time worked by work-study students.

RETENTION

Keep for 3 years after the end of award year for which the aid was awarded and disbursed.

Official retention code: AC + 3

NOTES

See AIN SFA3.4.6 for all other timecards and time sheets, including those of non-work-study student employees.

LEGAL CITATIONS

34 CFR 668.24(e)(1), 34 CFR 675.19(b).

13 — University Fiscal Records

[Back to contents](#)

13.1 — Worksheets, Detail Information on Financial Event or Transaction

1 record series

SFA13.1.1

Ticket Sales Management

Logistics and management of ticket disbursement for university-sponsored performing arts and other non-athletic events where tickets are sold for admission. May include but not limited to: ticket stock orders; ticket type reports; total ticket sales summaries and reports; ticket printing and control records; season ticket sales lists; free ticket sign-up sheets; and reports of free ticket disbursement.

RETENTION

Keep through the end of the fiscal year, then retain for 3 additional years.

Official retention code: FE + 3

NOTES

See AIN SFA4.1.9 for records of financial deposits or receipts.

13.2 — Other Fiscal

3 record series

SFA13.2.1

Archival, send to University Archivist

Donor Files

Includes individual donor and prospective donor files.

RETENTION

Keep until prospect ceases to be viable.

Official retention code: AC

CAUTION

Includes donor or prospective donor information only. For records of gifts, see AINs SFA13.2.3 and SFA13.2.5.

SFA13.2.3

Archival, send to University Archivist

Gift and Fundraising Records

Records of gifts given to the agency. May include but not limited to: gift and donor lists; gift histories; gift placement arrangements; departmental endowments and trusts raised by support and “friends” groups; fundraising efforts; pledges; and background on previous donations.

RETENTION

Keep for 7 years.

Official retention code: 7

NOTES

See AIN SFA13.2.5 for records documenting potential or realized major funding to the institution such as endowments and trusts.

SFA13.2.5

Archival, send to University Archivist

Gift Records - Institutional

Potential or realized private, corporate, or public agency funding to the institution, including major endowments and trusts. May include but not limited to: letters and agreements of gift, copies of bequest instruments and wills from individuals or estates, and related documentation and correspondence.

RETENTION

Keep permanently.

Official retention code: PM

15 — Student Records

[Back to contents](#)

15.1 — Admissions and Assessment

4 record series

SFA15.1.1

Admissions Records - Enrolled/Accepted

Applications and supplemental materials submitted by individuals, including international students, seeking admission and enrolling in the institution or a university program. May include but not limited to: acceptance letters; applications for admission; entrance exam reports; letters of recommendation; health history forms; readmission forms; recruitment materials; test scores; residency classification forms; transcripts from other colleges; and transcripts from high school.

RETENTION

Keep for 3 years after graduation, date of last attendance, or separation from program, as applicable.

Official retention code: AC + 3

CAUTION

International student academic records must be retained at least 1 year after final notice to USCIS.

LEGAL CITATIONS

8 CFR 214.3(g).

SFA15.1.2

Admissions Records - Not Enrolled/Denied

Denied applications or applications that were approved but applicant did not enroll in institution or program (includes international applicants). May include but not limited to: acceptance letters; applications for admission; entrance exam reports; letters of recommendation; health history forms; readmission forms; recruitment materials; test scores; residency classification forms; transcripts from other colleges; and transcripts from high school.

RETENTION

Keep for 1 year after the end of application term.

Official retention code: AC + 1

CAUTION

International student academic records must be retained at least 1 year after final notice to USCIS.

SFA15.1.6**Standardized Test Administration Records**

Records of the services rendered to clients for standardized tests and admissions exams for partner organizations, such as SAT, ACT, GRE, MCAT, PCAT, GMAT, NTE, VCAT, and TOEFL. May include but not limited to: testing rules and regulations; rosters of test takers; seating charts; and supervisors' reports.

RETENTION

Keep for 1 year after the end of testing period.

Official retention code: AC + 1

CAUTION

Testing centers must retain records of testing according to the procedures and requirements established by the contracting organization.

CAUTION

This series does not include test scores.

See AIN SFA4.1.9 for testing payment vouchers.

SFA15.1.7**Residency Affidavits and Documentation**

Affidavits and declarations filed by students regarding state residency status which is critical for determining tuition status.

RETENTION

Keep for 3 years after graduation, or date of last attendance.

Official retention code: AC + 3

NOTES

See AIN SFA15.1.2 for residency classification forms submitted by applicants who did not enroll.

LEGAL CITATIONS

Texas Education Code, 54.052.

15.2 — Academic Records

24 record series

SFA15.2.1**Academic Action Authorizations**

Authorizations for academic actions, such as academic probation, suspensions, dismissals, reinstatements, etc.

RETENTION

Keep for 3 years after graduation or date of last attendance.

Official retention code: AC + 3

NOTES

See AIN SFA15.5.7 for disciplinary action records.

SFA15.2.2**Advanced Placement and Credit Records - Awarded**

Transfer credit evaluations, national or state standardized test scores and reports (e.g., CLEP, AP, Departmental, IB, SAT II, DSST), credit by examination authorizations and reports, military course documentation (e.g., USAFI) and evaluations, non-traditional transcripts and credentials, life experience records, requests for advanced credit, and similar documentation used by a university to evaluate and determine award of credit by advanced placement.

RETENTION**Keep for 3 years after graduation or date of last attendance.***Official retention code: AC + 3***SFA15.2.3****Advanced Placement and Credit Records - Not Awarded**

Denied requests for transfer credits and/or advanced placement.

RETENTION**Keep for 1 year after the end of academic year in which decision made.***Official retention code: AC + 1***SFA15.2.7****Course Registration and Status Records**

Registration forms, class rosters, class schedules, and similar records providing information on which courses students are registered for at the beginning of an academic term, including documentation evidencing the conditions under which courses are undertaken (e.g., audit, pass/fail, and credit/no credit authorizations or approvals) or evidencing changes to registration status during the term (e.g., add/drop forms and withdrawal authorizations by student or instructor).

RETENTION**Keep as long as administratively valuable.***Official retention code: AV***SFA15.2.8****Curriculum Change Authorizations**

Student requests to change their field of major study, add or remove a simultaneous major, or add or change a minor.

RETENTION**Keep as long as administratively valuable.***Official retention code: AV*

SFA15.2.9**Departmental Student Information Files**

Up-to-date departmental information on students' activity from point of enrollment to graduation or date of last attendance. May include but not limited to: personal data, graduate student qualifying examinations, placement tests, partial transcripts, and evidence of graduation or last date of attendance.

RETENTION

Keep for 3 years after student separation from the department or institution.

Official retention code: AC + 3

CAUTION

International student academic records must be retained at least 1 year after final notice to USCIS.

See AIN SFA15.2.26 for student advising records.

See AIN SFA15.5.7 for disciplinary action records.

SFA15.2.10**Enrollment Census Reports (4th and 12th Class Day Rosters)**

Attendance reports prepared by faculty on class census day and used as source documentation for enrollment reports submitted to the Texas Higher Education Coordinating Board (THECB).

RETENTION

Keep through the end of the fiscal year, then retain for 3 additional years.

Official retention code: FE + 3

SFA15.2.11**Faculty Grade Book**

Faculty grade books showing students' performance in the course and work completed. Includes grade sheets and other materials that permit a reconstruction of a student's graded performance in a course.

RETENTION

Keep until expiration of grade appeal period.

Official retention code: AC

NOTES

See AIN SFA15.2.12 for official Registrar copies of grades.

SFA15.2.12**Original Grade Sheets and Grade Changes**

Permanent record cards, grade cards, grade sheets, and grade change forms serving as the basis for students' official academic records. Grade sheets may include student names and social security numbers or ID numbers; course titles and numbers; sections; grades awarded; and instructors' signatures.

RETENTION

Keep permanently.

Official retention code: PM

CAUTION

This retention period applies to records of the Registrar. See AIN SFA15.2.11 for departmental copies of grade sheets.

SFA15.2.13**Student Coursework and Grade Reports**

Student coursework (e.g., examinations, quizzes, papers) in custody of institution that is needed as supporting documentation for grade books and grade report cards distributed to students.

RETENTION

Keep for 1 year after course completion.

Official retention code: AC + 1

CAUTION

Coursework under dispute may not be destroyed until the resolution of the dispute.

See AIN SFA15.2.9 for graduate student qualifying examinations.

See AIN SFA15.2.11 for grade book.

See AIN SFA15.2.30 for theses and dissertations.

SFA15.2.14**Graduation and Diploma Administration**

Student applications for graduation, degree audit forms, graduation authorizations, and diploma distribution records.

RETENTION

Keep for 1 year after graduation or last date of attendance.

Official retention code: AC + 1

SFA15.2.17**Hazlewood Act Documentation**

Applications and student eligibility determinations to claim the Hazlewood exemption and institutional records to track benefit hours claimed.

RETENTION

Keep for 3 years after last date of attendance, or date application denied, as applicable.

Official retention code: AC + 3

NOTES

See AIN SFA15.2.33 for Veterans Affairs Records.

LEGAL CITATIONS

40 TAC 461.130.

SFA15.2.19**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.

RETENTION

Keep until the date of release.

Official retention code: AC

SFA15.2.20**Independent Study Records**

Departmental approval for students to enroll in independent study courses. May include but not limited to: permission sheets with students' names; course names; number of credits; and faculty signatures.

RETENTION

Keep for 2 years after student separation from the department or institution.

Official retention code: AC + 2

SFA15.2.21**Internship Applications - Not Enrolled/Denied**

Applications for internship programs for which student was denied or did not enroll.

RETENTION

Keep for 1 year after the end of academic term in which internship occurred.

Official retention code: AC + 1

NOTES

See AIN SFA15.2.22 for other internship program records.

SFA15.2.22**Internship Program Records**

Administration of student internship, practicum, and cooperative education programs. May include but not limited to: applications for internships inside and external to the institution; agreements with departments; postings/notices; student resumes; and proposed institution listings.

RETENTION

Keep for 3 years after the end of academic term in which internship occurred.

Official retention code: AC + 3

NOTES

See AIN SFA15.2.21 for internship applications for which student was denied or did not enroll.

SFA15.2.23**Personal Data and Name Change Records**

Student or applicant name changes, change of address forms, race/ethnicity questionnaires, and similar source documentation used to update personal data information on transcripts or other student records.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

SFA15.2.26**Student Advising Records**

Academic advising records, including advisors' notes, advising checklists, and unofficial or partial copies of grade reports.

RETENTION

Keep for 3 years after student separation from the department or institution.

Official retention code: AC + 3

NOTES

See AIN SFA18.2.5 for student athlete reporting requirements.

SFA15.2.27**Student Certification Records - Academic**

Student completion of certificate programs offered by university academic programs.

RETENTION

Keep for 5 years after the date of last attendance.

Official retention code: AC + 5

CAUTION

Transcript notes regarding academic certifications awarded are maintained permanently by the Registrar. See AIN SFA15.2.28 for professional certification records (e.g., teacher certification records).

SFA15.2.28**Student Certification Records - Professional**

Certification records for licenses or certificates to enter a profession (e.g., teaching certificates). May include but not limited to: applications for admission to a program; registration for practicum hours and evidence of the completion of the practicum; transcripts; narrative evaluations on practicum; notice of completion of hours required for certification; and recommendations and evaluations.

RETENTION

Keep for 1 year after the end of certification period.

Official retention code: AC + 1

CAUTION

Accrediting agencies may require longer retention periods for professional certification records. Refer to accrediting agency to determine the term of the certification period.

See AIN SFA15.2.27 for academic certifications.

SFA15.2.30**Archival, send to University Archivist****Thesis and Dissertation Records**

Final accepted copies of theses and dissertations presented to colleges in fulfillment of requirements for graduate degrees.

RETENTION**Keep permanently.***Official retention code: PM***SFA15.2.32****Transcripts**

Transcript, or a record equivalent in function, of the academic achievement of each enrolled student, documenting courses taken, credits granted, grades received, and any degrees or certifications awarded (including any narrative assessments or evaluations prepared in lieu of an assigned grade).

RETENTION**Keep permanently.***Official retention code: PM***SFA15.2.33****Veterans Affairs Records**

Certification of Enrollment reports required by the U.S. Department of Veterans Affairs (VA) and individual veteran student records that certify to the VA that the student is eligible for educational benefits, is currently enrolled at the institution in a qualifying curriculum and is maintaining standards required to receive entitlements.

RETENTION**Keep for 3 years after graduation, date of last attendance, or end of certification period, as applicable.***Official retention code: AC + 3***NOTES**

See AIN SFA15.2.17 for Hazlewood Act documentation.

LEGAL CITATIONS

38 CFR 21.4209(f), US Department of Veterans Affairs School Certifying Official Handbook.

SFA15.2.35**Non-Academic Withdrawal Records**

Requests and authorizations for a student to withdraw from classes after calendar deadlines without academic penalty for reasons acceptable to a university such as health or family issues.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

15.3 — Financial Aid and Scholarship Records

11 record series

SFA15.3.2**Financial Aid Application, Award, and Disbursement Records - All Federal, State, Local, and Institutional Grants, Scholarships, and Work-Study Programs**

Approved student applications and disbursement records for all local, state, federal, or institutional grants, scholarships, and work-study programs not covered elsewhere in schedule. May include but not limited to: financial aid need analysis and eligibility forms; financial aid transcripts; copies of documents submitted by students or parents for verification of student aid application information; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors; work-study certifications and time reports; documentation of entrance and exit interviews; and correspondence. Includes Federal Work-Study (FWS), Federal Supplemental Educational Opportunity Grant (FSEOG), and Pell Grant records.

RETENTION

Keep for 3 years after whichever occurs later: the end of the award period or submission of the annual report for the award year.

Official retention code: AC + 3

NOTES

See AIN SFA15.3.10 for veterans' assistance programs.

LEGAL CITATIONS

34 CFR 668.24(e), 34 CFR 675.19(b)(1), 34 CFR 676.19(b), 34 CFR 690.82(a).

SFA15.3.3**Financial Aid Application and Award Records - All Federal, State, Local, and Institutional Loan Programs**

Financial aid applications for federal, state, local, or institutional loans not included elsewhere in schedule, including Income Contingent Loans (ICL), Perkins Loans, Federal Family Education Program Loans (Stafford Loans, Unsubsidized Stafford Loans, Federal PLUS Loans, and Federal Consolidation Loans) and Direct Loans (Direct Unsubsidized Loans, Direct PLUS Loans, and Direct Consolidation Loans). May include but not limited to: approved student applications; Student Aid Report (SAR) or institutional Student Information Record (ISIR) used to determine eligibility for Title IV, HEA program funds; documentation of each student's or parent borrower's eligibility; loan counseling; and data verification forms and reports.

RETENTION

Keep for 3 years after whichever occurs later: the end of the award period or submission of the annual report for the award year.

Official retention code: AC + 3

NOTES

See AIN SFA15.3.5 for Health Profession and Nursing Student Loan program applications.

LEGAL CITATIONS

34 CFR 668.24(e), 34 CFR 674.19(e)(3), 34 CFR 682.610(a)(2).

SFA15.3.5**Financial Aid Application and Award Records - Health Profession and Nursing Student Loan Programs**

Approved student applications; documentation of financial aid; financial aid transcript; student's name, address, academic standing, and period of attendance; and loan and tuition details.

RETENTION

Keep for 5 years after termination of enrollment.

Official retention code: AC + 5

CAUTION

May include obsolete Health Education Assistance Loans (HEAL).

LEGAL CITATIONS

42 CFR 57.215(b), 42 CFR 57.315(a)(2), 42 CFR 60.56(b).

SFA15.3.7**Financial Aid Application and Award Records - Non-Awarded**

Denied applications for financial aid.

RETENTION

Keep for 1 year after the end of academic period for which aid denied.

Official retention code: AC + 1

SFA15.3.10**Financial Aid Application, Award, and Disbursement Records - Veterans Administration Education Assistance Allowances**

Approved student applications and disbursement records for Veterans Administration (VA) benefits. May include but not limited to: financial aid need analysis and eligibility forms; financial aid transcripts; copies of documents submitted by students for verification of student aid application information; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors; and documentation of entrance and exit interviews.

RETENTION

Keep for 3 years after termination of enrollment.

Official retention code: AC + 3

LEGAL CITATIONS

38 CFR 21.4209(f).

SFA15.3.11**Financial Aid Disbursement and Repayment Records - All Federal, State, Local, and Institutional Loan Programs**

Disbursement and repayment records for loans not included elsewhere in schedule, including Income Contingent Loans (ICL), Perkins Loans, Federal Family Education Program Loans (Stafford Loans, Unsubsidized Stafford Loans, Federal PLUS Loans, and Federal Consolidation Loans) and Direct Loans (Direct Unsubsidized Loans, Direct PLUS Loans, and Direct Consolidation Loans). May include but not limited to: receipts; account cards documenting amount of loan, payment period, and loan period; calculations used to determine amount awarded; date and amount of each disbursement; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; amount, date, and basis of institution's calculation of any refunds or overpayments due if student withdraws; overpayments; documentation of entrance and exit interviews; records of contacts concerning overdue loans; and correspondence between the university and the borrower, collection agencies, and credit bureaus.

RETENTION

Keep for 3 years after the date of final repayment or cancellation.

Official retention code: AC + 3

NOTES

See AIN SFA15.3.18 for Health Profession and Nursing Student Loan program payments.

See AIN SFA15.3.26 for Perkins Original Promissory Notes.

LEGAL CITATIONS

34 CFR 668.24(e), 34 CFR 674.19(e)(3), 34 CFR 682.610(a)(2).

SFA15.3.18**Financial Aid Disbursement and Repayment Records - Health Profession and Nursing Student Loan Programs**

Disbursement and repayment records for health profession and nursing student loans. May include but not limited to: documentation of amount and date of each loan, payment dates, deferment documentation, and correspondence related to overdue and uncollectible loans.

RETENTION

Keep for 5 years after the date of retirement of loan.

Official retention code: AC + 5

CAUTION

May include obsolete Health Education Assistance Loans (HEAL).

LEGAL CITATIONS

42 CFR 57.215(c), 42 CFR 57.315(a)(3).

SFA15.3.23**Financial Aid Programs**

Documentation of the university's participation in financial aid programs, such as program participation agreements and required reports.

RETENTION

Keep for 3 years after the end of award year in which all reporting is finalized.

Official retention code: AC + 3

LEGAL CITATIONS

34 CFR 668.24(e)(1)(i), 324 CFR 674.19(e)(3)(i), 34 CFR 675.19(b)(1), 34 CFR 676.19(b), 45 CFR 74.53(b), 34 CFR 690.82(a).

SFA15.3.26**Perkins Original Promissory Notes**

Promissory notes for student loans negotiated for the current academic year.

RETENTION

Keep until loan is satisfied, or documents are needed to enforce obligation.

Official retention code: AC

CAUTION

If original promissory notes are electronically signed, the signed master promissory note (MPN) must be kept 3 years after all the loans made on the MPN are satisfied.

LEGAL CITATIONS

34 CFR 674.19(e)(4).

SFA15.3.27**Tuition Exemption and Remission Records**

Applications for and supporting documentation evidencing the grant of tuition exemptions or remissions. May include but not limited to: authorizations; reconciled lists; and account summaries.

RETENTION

Keep for 3 years after the end of award year.

Official retention code: AC + 3

NOTES

See AIN SFA15.2.17 for Hazlewood Act records.

SFA15.3.28**Tuition Rebate Documentation**

Tuition rebate forms and any supporting documentation pertaining to a college tuition rebate program.

RETENTION

Keep for 5 years after graduation or date of last attendance.

Official retention code: AC + 5

LEGAL CITATIONS

Texas Education Code, 54.0065.

15.4 — Student Privacy Records

6 record series

SFA15.4.2**Access Waiver Records**

Waivers completed by students to allow or revoke access to confidential letters and confidential statements of recommendation.

RETENTION

Keep until final disposition of record to which waiver applies.

Official retention code: AC

SFA15.4.3**Disclosures**

Record of each request for access to and each disclosure of personally identifiable information from the educational records of a student under the Family Educational Rights and Privacy Act (FERPA): documentation of requests from and disclosures to any party other than the student, an official of the university for what the university has determined are legitimate educational interests, a party with or without written consent from the student, or a party seeking directory information.

RETENTION

Keep as long as the disclosed record is maintained.

Official retention code: AC

NOTES

See AIN SFA1.1.77 for release of non-FERPA records.

LEGAL CITATIONS

34 CFR 99.32(a)(2).

SFA15.4.4**Protest of Record Statements**

Statements by students commenting on contested information in a student record stating why he or she disagrees with a university's decision not to amend a record, or both.

RETENTION

Keep until final disposition of record containing the contested information.

Official retention code: AC

LEGAL CITATIONS

34 CFR 99.21(c)(1).

SFA15.4.5**Record Amendment Requests**

Requests from students to amend student records, notices by an institution of denial or consent to amendments, requests for hearings on denied requests, hearing notices, and written decisions by hearing examiners.

RETENTION

Keep for 2 years.

Official retention code: 2

SFA15.4.6**Student Nondisclosure Requests**

Student request to opt out of directory information disclosure.

RETENTION

Keep until termination of nondisclosure request.

Official retention code: AC

LEGAL CITATIONS

34 CFR 99.37(b).

SFA15.4.7**Written Consents**

Written consents and waivers for information disclosure from the eligible student or student's parents.

RETENTION

Keep until termination of waiver.

Official retention code: AC

15.5 — Other Records and Reports

7 record series

SFA15.5.1

Academic Standing Reports

Reports on student academic standing, including academic deficiency and the status changes of academically deficient students. May include but not limited to: reports containing student names, grade point averages (GPAs), grade point deficiencies, numbers of previous suspensions and probations; student petitions for re-evaluation; report of student progress toward academic readmission/removal of probation status at other institutions; academic honors and awards; and related documentation.

RETENTION

Keep for 3 years.

Official retention code: 3

SFA15.5.2

Admissions/Enrollment Reports

Summary and statistical information relating to student admission programs which may be used for control, planning or review. May include but not limited to: Texas Higher Education Coordination Board (THECB) report; reports sent to administration; or beginning of semester enrollment reports sent to office of institutional research.

RETENTION

Keep permanently.

Official retention code: PM

NOTES

For raw data or working files used to create these reports, see AIN SFA1.1.65.

SFA15.5.3

Class Lists

Official record of students enrolled in courses taught, used to cross-check students who have enrolled against those who have registered as well as in the generation of statistical reports.

RETENTION

Keep until the list of students who have enrolled has been cross-checked with the list of students who have registered.

Official retention code: AC

CAUTION

Class lists often have long-term value in the generation of statistical and other reports. They should be reviewed before disposal, as some of these records may merit long-term or permanent retention.

SFA15.5.5**Recruitment Records**

Recruitment of students based upon disadvantaged status, academic performance, and other criteria. May include but not limited to: interview notes; conversation notes; personal information forms and resumes; test scores; photographs; and academic transcripts.

RETENTION

Keep for 1 year after the end of application term.

Official retention code: AC + 1

CAUTION

Does not include records of recruitment of athletes into the institution's intercollegiate athletics program. See AIN SFA18.2.18.

See AIN SFA16.5.10 for external recruiting records.

SFA15.5.7**Student Conduct/Disciplinary Action Records**

Academic dishonesty and conduct violations among students. May include but not limited to: incident reports; final reports; evidence; notification of allegation; disciplinary reports; informal discussion notes; formal hearing notes; final summary statements; decision statements; and appeals documentation.

RETENTION

Keep for 3 years after graduation or date of last attendance.

Official retention code: AC + 3

CAUTION

For Title IX complaints, see AIN SFA15.5.10.

SFA15.5.8**Student Grievance Records**

Grievances brought forward by students against the institution that do not result in litigation. Grievances may pertain to academic issues; housing; affirmative action and equal opportunity; student conduct; and other issues. May include but not limited to: notices of grievance; informal discussion notes; grievance responses; formal hearing notes (including audio tapes); final summary statements; settlement agreements; and appeals documentation.

RETENTION

Keep for 5 years after graduation or date of last attendance.

Official retention code: AC + 5

CAUTION

If a grievance brought forward by students against the institution becomes part of litigation, it should be retained as a litigation record per AIN SFA1.1.48. If the grievance goes to the university ombudsman, the record should be retained as an ombudsman record per AIN SFA3.1.39.

CAUTION

For Title IX complaints, see AIN SFA15.5.10.

SFA15.5.10**Title IX Complaints**

Title IX complaints, investigations, and determination of responsibility, including informal resolution or appeal.

RETENTION

Keep for 7 years after final resolution of issue and appeals.

Official retention code: AC + 7

LEGAL CITATIONS

34 CFR 106.45(b)(10).

16 — University Services Records

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16.1 — Health and Counseling Records

38 record series

SFA16.1.1**Abuse and Neglect Records**

Documentation of abuse and/or neglect findings observed by medical staff during patient care. The findings may be incident/variance reports and evidence of child, domestic, elder, or other kinds of abuse.

RETENTION

Keep for 10 years after report date for adults, or 10 years after minor reaches the age of majority.

Official retention code: AC

LEGAL CITATIONS

Code of Criminal Procedure, 12.01.

SFA16.1.2**Adverse Drug Event Records**

Records related to adverse drug events or medical occurrences in patients and others served by the institution, excluding events taking place during a research study.

RETENTION

Keep for 5 years.

Official retention code: 5

NOTES

See AIN SFA17.3.12 and SFA17.3.13 for research data.

SFA16.1.3**Birth Reports**

This records series consists of all necessary information for the completion of the birth certificate including baby's name, weight, height, time/date/location of birth and information on the baby's parents. The record copy of the birth certificate is retained by the Office of Vital Statistics.

RETENTION

Keep for 21 years after report date.

Official retention code: AC + 21

SFA16.1.4**Blood Bank and Transfusion Records**

Documentation of all significant steps in the collection, processing, compatibility testing, storage, and distribution of each unit of blood and blood components.

RETENTION

Keep until whichever date is later: 10 years after the records of processing are completed, or 6 months after the latest expiration date for the individual product.

Official retention code: AC

CAUTION

When there is no expiration date, records must be retained PERMANENTLY.

See AIN SFA16.1.19 for blood donor deferrals.

LEGAL CITATIONS

21 CFR 606.160, American Blood Bank (AABB) and Standards for Blood Banks and Transfusion Services (BB/TS).

SFA16.1.5**Brachytherapy Patient Monitoring**

Radiation area surveys performed on patients treated with radioactive materials.

RETENTION

Keep permanently.

Official retention code: PM

LEGAL CITATIONS

25 TAC 289.202(ggg)(5).

SFA16.1.6**Communicable Disease Records**

Communicable disease logs and reporting records. May include but not limited to: copies of laboratory test results; name and address of patient; date; and person making referral.

RETENTION

Keep for 3 years.

Official retention code: 3

NOTES

See AIN SFA16.1.13 for other laboratory test results.

LEGAL CITATIONS

25 TAC 97.2.

SFA16.1.7**Continuing Medical Education (CME) Class Records**

Records required for accreditation and administration of Continuing Medical Education (CME), Continuing Dental Education (CDE), and Continuing Nursing Education (CNE) training courses or programs, including activity and attendance records.

RETENTION

Keep for 6 years.

Official retention code: 6

NOTES

See AIN SFA17.1.6 for all other continuing education records.

LEGAL CITATIONS

Accreditation Council for Continuing Medical Education (ACCME).

SFA16.1.8**Mental Health Counseling Records**

Professional counseling center service records. May include but not limited to: extensive notes made by providers concerning the assessment, diagnosis, treatment and contacts (written, telephone, or in person) with each client; mental health records; therapy records; psychotherapy notes; referral letters; release of information agreements; and letters to agencies or others concerning clients.

RETENTION

Keep until whichever date is later: 7 years after services with the client end, or 5 years after the client reaches the age of majority.

Official retention code: AC

CAUTION

Follow professional licensing board rules if they require longer retention.

CAUTION

Student athlete medical records may have additional requirements per NCAA rules. See AIN SFA18.2.5.

See AIN SFA16.1.25 or SFA16.1.26 for medical records.

See AIN SFA16.1.34 for psychotherapy notes.

SFA16.1.9**Disclosure of Protected Health Information**

Disclosures and policies or procedures governing the protection of Protected Health Information (PHI) in accordance with the Health Information Portability and Accountability Act (HIPAA).

RETENTION

Keep for 6 years after the date of disclosure or the policy's last effective date, as applicable.

Official retention code: AC + 6

LEGAL CITATIONS

45 CFR 164.528(b)(1), 45 CFR 164.530(j).

SFA16.1.10**Donor Records - Medical**

Bequeathal forms, cadaver tracking and acceptance information, death certificates, State Anatomical Board (SAB) forms, Morgue Control Sheets, and final disposition records for people who have donated their bodies, organs, or tissues to the institution.

RETENTION

Keep permanently.

Official retention code: PM

NOTES

For other physical and monetary donations and gifts, see AIN SFA13.2.3.

LEGAL CITATIONS

Health and Safety Code, 691.031.

SFA16.1.11**Medical Assistance Applications**

Applications submitted on behalf of a patient to a drug company's or medical institution's assistance program.

RETENTION

Keep for 1 year after being superseded.

Official retention code: US + 1

SFA16.1.12**Drug Recall Notices**

United States Food and Drug Administration (FDA) and manufacturer recalls on drugs. May include but not limited to: reportable occurrences of drug use; recalls through the manufacturer; and responses by departments.

RETENTION

Keep until whichever date is later: 5 years after the records of manufacture are completed, or 6 months after the latest expiration date for the individual product.

Official retention code: AC

LEGAL CITATIONS

21 CFR 600.12, 21 CFR 7.59(c).

SFA16.1.13**Final Laboratory Test Reports - Pathology**

Test results and preliminary reports specific to pathology, histology, and cytology testing. Documentation includes the test requisition plus the specimen's accession number, the date and time the lab received the specimen, the condition and disposition of samples which do not meet the lab's acceptance standards, and the records and dates of performance of each step in the patient testing leading to and including the final report.

RETENTION

Keep for 10 years.*Official retention code: 10*

LEGAL CITATIONS

42 CFR 493.1105(a)(6)(ii).

SFA16.1.14**Forensic Autopsy Records**

Final forensic autopsy reports.

RETENTION

Keep permanently.*Official retention code: PM*

CAUTION

This series applies only to inquests into a death occurring in a county that does not have a medical examiner's office or that is not part of a medical examiner's district.

LEGAL CITATIONS

College of American Pathologists (CAP) Recommendation.

SFA16.1.15**Forensic Autopsy Supporting Documents**

Cause of death worksheets, interview notes, and copies and reference materials from hospitals, nursing homes, ambulances, law enforcement, or other entities that may be used in the development of final autopsy report or in medical/legal cases.

RETENTION

Keep for 25 years after the date of death.*Official retention code: AC + 25*

SFA16.1.16**Health Assessment**

Health assessment and screening records performed outside of regular treatment facilities and not entered into patient medical records (e.g., cholesterol screening, blood pressure testing, etc.).

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

NOTES

See AIN SFA16.1.9 for disclosures of protected health information (PHI).

SFA16.1.17**Health Referrals - Denied or Not Seen**

Documentation of instances where outpatients are referred to the institution by non-institutional practitioners who are denied health-related services or who are not Seen by the institution.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

SFA16.1.18**Immunization Record and Consent Forms**

Signed consent forms and records noting the type of immunization performed which are not included in the patient's medical record.

RETENTION

Keep until the later of these events: the minor's 21st birthday, or 10 years after the end of the calendar year in which the consent form was signed.

Official retention code: AC

NOTES

See AIN SFA1.1.67 for immunization reports required by the Texas Education Code and the Texas Health and Safety Code.

SFA16.1.19**Indefinite Donor Deferral List**

Lists of potential donors who have been deferred indefinitely due to abnormal test results.

RETENTION

Keep permanently.

Official retention code: PM

LEGAL CITATIONS

American Blood Bank (AABB) and Standards for Blood Banks and Transfusion Services (BB/TS).

SFA16.1.20**Laboratory Inspection Records - Calibration Records**

In-house survey or calibration of laboratory equipment on a regular basis.

RETENTION

Keep for 3 years.

Official retention code: 3

NOTES

See AIN SFA5.2.5 for calibration records of non-regulated equipment.

LEGAL CITATIONS

42 CFR 493.1105, 25 TAC 289.202(nn)(1).

SFA16.1.22**Medicaid Provider Records**

All records necessary to fully disclose Medicaid reimbursable services provided, including financial records relating to program services.

RETENTION

Keep for 5 years from the date of service, or until all audit questions, appeal hearings, investigations, or court cases are resolved, whichever is later.

Official retention code: AC + 5

LEGAL CITATIONS

1 TAC 354.1004.

SFA16.1.23**Medical Device Recall Notices and Responses**

United States Food and Drug Administration (FDA), Safe Medical Devices Act (SMDA) and manufacturer recalls on all medical, food and drug devices. May include but not limited to: reportable occurrences on devices, recalls through the manufacturer, and responses by institutional departments.

RETENTION

Keep for 2 years after the device is no longer in use, has been explanted or returned to the manufacturer, or the patient has died.

Official retention code: AC + 2

LEGAL CITATIONS

21 CFR 806.20(c), 21 CFR 821.60.

SFA16.1.24**Medical Logs**

Log of patients visiting the health institution (both inpatients and outpatients) and patient encounters. The log may be used to create annual census reports and 3-year census comparisons, and it may include the date and time that the patient came in; appointment; admission; transport; dispatch; the physician assigned; diagnosis; discharge; patient photo; patient service; length of stay; remarks; case logs, and other medical logs.

RETENTION

Keep for 3 years.

Official retention code: 3

SFA16.1.25**Medical Records - Hospital**

Medical services history provided for patients treated by physicians, psychologists, or psychiatrists, and other medical staff at university hospitals, counseling centers, or other health institutions. May include but is not limited to: appointment requests; summary sheets; copies of test results; treatment record forms; diagnoses; screenings; initial evaluations and assessments; referrals; personal health histories; dental examinations; physical therapy notes; release forms; notes; and memoranda.

RETENTION

Keep until whichever date is later: 7 years after services with the client end, or the client's 21st birthday.

Official retention code: AC

CAUTION

For records documenting forensic sexual assault exams, records must be retained for 20 years, per Health and Safety Code 241.1031.

CAUTION

Student athlete medical records may have additional requirements per NCAA rules. See AIN SFA18.2.5.

See AIN SFA16.1.8 for mental health, counseling, and psychotherapy records.

See AIN SFA16.1.26 for student health clinic records.

See AIN SFA16.1.34 for psychotherapy notes.

See AIN SFA16.1.38 for medical source data.

SFA16.1.26**Medical Records - Student Health Clinic**

Medical services history provided for students treated by the student health center. May include but not limited to: appointment requests; summary sheets; copies of test results; treatment record forms; diagnoses; screenings; initial evaluations and assessments; referrals; health center billing statements; personal health histories; dental examinations; physical therapy notes; releases; notes; and memoranda.

RETENTION

Keep until whichever date is later: 7 years after services with the client end, or the client's 21st birthday.

Official retention code: AC

CAUTION

For records documenting forensic sexual assault exams, records must be retained for 20 years, per Health and Safety Code 241.1031.

CAUTION

Student athlete medical records may have additional requirements per NCAA rules. See AIN SFA18.2.5.

See AIN SFA16.1.8 for mental health, counseling, and psychotherapy records.

See AIN SFA16.1.25 for hospital records.

See AIN SFA16.1.34 for psychotherapy notes.

See AIN SFA16.1.38 for medical source data.

SFA16.1.27

Medical Rotation Records - Non-Affiliated Medical Students, Residents and Fellows

Medical rotation records for medical students, residency physicians, or fellows not affiliated with this university, but are accepted to practice medicine under the supervision of a licensed physician at this hospital as part of an elective not offered at their hospital. May include but not limited to: formal request to rotate; curriculum vitae; drug test; permit to practice medicine; and evaluations.

RETENTION

Keep for 5 years after completion of training or date of last attendance.

Official retention code: AC + 5

CAUTION

Records for affiliated students are kept with other student records, and records for affiliated residents/fellows are kept with residency records (AIN SFA16.1.36 and SFA16.1.37).

SFA16.1.29

Non-Forensic Autopsy Records

Records relating to non-forensic autopsies, including reports, blocks, and slides.

RETENTION

Keep for 10 years.

Official retention code: 10

LEGAL CITATIONS

College of American Pathologists (CAP) recommendation.

SFA16.1.30

Patient Valuables Inventory

Inventory of patient valuables.

RETENTION

Keep until the date valuables returned or determined to be unclaimed property.

Official retention code: AC

NOTES

See AIN SFA4.5.10 for unclaimed property records.

SFA16.1.31a**Pharmacy Records - Prescription and Inventory**

Inventory, prescription slips, and other records of the purchase, acquisition, disposal, or dispensation of drugs and controlled substances as required by federal law and regulations, state law, and the rules of the Texas State Board of Pharmacy (TSBP).

RETENTION

Keep for 2 years after the later of the date that the record was required to be created, the record was created, or the prescription was last filled.

Official retention code: AC + 2

CAUTION

See legal citations for special filing requirements for controlled substance and electronic prescriptions.
See AIN SFA17.3.18 for pharmacy records related to animal research.

LEGAL CITATIONS

21 CFR 1304.04(a), Health and Safety Code, 481.067(c) and 483.023, 22 TAC 291.75(a).

SFA16.1.31b**Pharmacy Records - Personnel Log**

Pharmacy log of the unique initials or identification codes which identify pharmacy personnel by name.

RETENTION

Keep for 7 years after the date of transaction.

Official retention code: AC + 7

LEGAL CITATIONS

22 TAC 291.75(e)(1).

SFA16.1.33**Poison Center Case Sheets**

Poison Control Center calls and case sheets documenting individual poisoning or suspected poisoning incidents. Information may include date/time called, location of call, case number, name of individual, substance ingested, treatment, and medical outcome.

RETENTION

Keep for 21 years.

Official retention code: 21

SFA16.1.34**Psychotherapy Notes**

Notes recorded by a health care provider who is a mental health professional documenting or analyzing the contents of conversation during a private counseling session or a group, joint, or family counseling session and that are separated from the rest of the individual's medical record. Psychotherapy notes exclude medication prescription and monitoring,

counseling session start and stop times, the modalities and frequencies of treatment furnished, results of clinical tests, and any summary of the following items: diagnosis, functional status, the treatment plan, symptoms, prognosis, and progress to date.

RETENTION

Keep for 7 years after services with the client end, or until the client reaches age 21, whichever results in the longer retention period.

Official retention code: AC

NOTES

See AIN SFA16.1.8 for counseling records.

LEGAL CITATIONS

45 CFR 164.501.

SFA16.1.35

Quality Assurance Records - Health Services

Quality assurance records such as documentation of equipment monitoring; checks of quality control items, and any necessary corrections; reports by the staff; quality assurance committee notes; Morbidity and Mortality (M&M) conferences for residents; chart reviews; and staff reviews.

RETENTION

Keep for 2 years.

Official retention code: 2

CAUTION

Federal or state regulations may require longer retention periods for specific health quality assurance reports.

SFA16.1.36

Physician in Training (PIT) Formative Evaluations

Formative evaluations of resident physicians created during training periods.

RETENTION

Keep until the resident has graduated and any dispute involving the resident has been resolved, whichever occurs later.

Official retention code: AC

NOTES

See AIN SFA16.1.37 for final summative evaluations.

SFA16.1.37**Physicians in Training (PIT) Completion Records**

Records created to verify completion of residency and fellowship education requirements for accepted physicians in training. May include but not limited to: final summative evaluations; Certification of Residency; and completion of resident program.

RETENTION

Keep for 50 years after completion of training, or last date of training, as applicable.

Official retention code: AC + 50

NOTES

See AIN SFA16.1.7 for Continuing Medical Education records.

See AIN SFA16.1.36 for formative resident evaluations.

SFA16.1.38**Medical Source Data**

Medical source data and health information stored in any original media. May include but not limited to: paper diagnostic tests or tools; X-rays; videotapes; ultrasounds; fetal monitor strips; photographs (either conventional photos or digital images); EKG strips; and ancillary or supporting systems (e.g., pharmacy information systems and radiation oncology information systems). Source data is distinct from the written interpretations of significant clinical information that has been forwarded to the medical record.

RETENTION

Keep for 5 years.

Official retention code: 5

CAUTION

Some source data, such as fetal monitoring strips or mammography images, may need to be kept longer.

See AIN SFA16.1.25 or SFA16.1.26 for information transcribed in medical records.

LEGAL CITATIONS

42 CFR 482.26(d)(2).

SFA16.1.40**Student Health Insurance Records**

University copies of information relating to the selection by students of health insurance offered to students through the university.

RETENTION

Keep until superseded or date of last attendance.

Official retention code: AC

SFA16.1.41**Surgical Instrument Sterilization Records**

Sterilization of surgical instruments used by the health institution. May include autoclave recording charts and log sheets indicating date, load number, items sterilized, and temperature/time settings.

RETENTION

Keep for 2 years.

Official retention code: 2

16.2 — Library, Archives, and Museum

10 record series

SFA16.2.1**Circulation Records**

Records documenting the borrowing of circulating library materials or equipment by qualified patrons (including courtesy and guest borrowers). May include but not limited to: the name and identification of the borrower; material due dates; and overdue item notations.

RETENTION

Keep until transaction is completed.

Official retention code: AC

NOTES

See AIN SFA4.1.9 for fines.

The disposal of circulation records need not be documented through destruction authorizations (AIN SFA1.2.1), or in records disposition logs (AIN SFA1.2.10).

SFA16.2.2**Archives Collection Control Records**

Collection control records documenting accessioning, cataloging, preserving, and referencing. May include but not limited to: deeds of gift; appraisal reports (monetary or non-monetary); accession sheets and reports; archives transmittal lists; deaccessioning recommendations; and loss of archival materials.

RETENTION

Keep permanently.

Official retention code: PM

NOTES

See AIN SFA1.2.13 for archival finding aids.

SFA16.2.3**Collection or Artifact Loan Records**

Artifact and material loans contracted between units of the institution or between the institution and either other institutions or individuals. May include but not limited to: signed and legally binding agreements for incoming and outgoing loans between the collection administrators; receipts for loans and return of materials to the legal holder; and related forms, documentation, and correspondence.

RETENTION

Keep for 7 years after expiration or termination of the loan agreement according to its terms.

Official retention code: AC + 7

NOTES

Upon the expiration of the retention period, repositories should consider transferring loan records to AIN SFA16.2.2 if they possess continuing reference or administrative value.

SFA16.2.6

Archival, send to University Archivist

Exhibit Records

Exhibit records documenting the display and use of artifacts and materials. May include but not limited to: artifact labels or placards; photographs of exhibits; exhibit renderings; and exhibit assembly and presentation instructions.

RETENTION

Keep until conclusion of exhibit.

Official retention code: AC

ARCHIVES NOTE

For museums, archival review and selection may be performed by museum curatorial staff. Materials pertaining to major exhibits may possess long-term historical value and may be retained either in the institutional archives or the museum unit, as appropriate.

SFA16.2.7**Interlibrary Loan (ILL) Records**

Interlibrary loan requests fulfilled by the university library system for materials from outside institutions for materials requested from outside library systems.

RETENTION

Keep until transaction is completed.

Official retention code: AC

NOTES

See AIN SFA4.1.1 for accounts payable records.

SFA16.2.8

Library Catalog

Catalog of bibliographic records used as a guide to library holdings.

RETENTION

Keep until superseded.

Official retention code: US

CAUTION

See AIN SFA4.7.4 for records documenting purchase of library materials.

The disposal or supersession of library catalog records need not be documented through destruction authorizations (AIN SFA1.2.1), or in records disposition logs (AIN SFA1.2.10).

SFA16.2.9

Library Materials Control Records

Records of the acquisition and cataloging of library material.

RETENTION

Keep until catalog updated.

Official retention code: AC

NOTES

See AIN SFA16.2.8 for library catalog.

See AIN SFA4.7.4 for records documenting purchase of library materials.

The disposal or supersession of library catalog records need not be documented through destruction authorizations (AIN SFA1.2.1), or in records disposition logs (AIN SFA1.2.10).

SFA16.2.10

Patron Registration Records

Patron registration forms filled out by archives users to gain access to the reading room to view archival materials. May also include photocopies of photo identification or other related materials.

RETENTION

Keep for 4 years.

Official retention code: 4

NOTES

See AIN SFA5.4.11 for sign-in sheets, guest books, patron logs, and similar records documenting visitors to limited access or restricted areas of university facilities.

SFA16.2.11

Permissions History Files

Records of the repository granting/denying permission to reproduce images of items in the collection. Includes permission forms and correspondence requesting permission to publish images from archival collections.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

SFA16.2.12

Reference Request Records

This series documents requests for information about, or access to, items within the institution's collections. May include but is not limited to: reference request forms; disposition of or time spent fulfilling the requests; call slips (also called pull slips); and related documentation and correspondence.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

NOTES

See AIN SFA1.1.64 for performance measures documentation.

See AIN SFA1.1.69 for activity reports.

16.3 — Campus Security

46 record series

SFA16.3.1

Antenna and Transmitter Documentation

Records documenting the monitoring, inspection, measurement, repair, and illumination of antenna, antenna supporting structures, and transmitters authorized to operate with a power output in excess of two watts.

RETENTION

Keep for 1 year.

Official retention code: 1

LEGAL CITATIONS

47 CFR 90.447.

SFA16.3.2**Arrest Reports**

Arrest report and fingerprints on each person arrested and charged with a felony or a misdemeanor not punishable by fine only. Report includes the name (including aliases), date of birth, and physical description of the offender; the name of the arresting agency; the arrest charge and whether it is a felony or a misdemeanor; the date of arrest; and the date and exact disposition of the case by the agency.

RETENTION

Keep for 75 years.

Official retention code: 75

CAUTION

If the arrest report does not provide the information listed in the record description, offense investigation records must be retained 75 years or until date of death of the individual.

CAUTION

For retention of juvenile fingerprints, consult Family Code 58.002.

NOTE: Records may be destroyed upon date of death of individual, if known.

See AIN SFA16.3.36 for Class C misdemeanors or other violations punishable by fine only.

LEGAL CITATIONS

Code of Criminal Procedure, 66.102.

SFA16.3.3**Bicycle Registration Records**

Registrations completed by institution students, faculty, and staff for use of bicycles on campus.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

SFA16.3.4

Archival, send to University Archivist

Annual Fire Safety Report

Annual fire safety report containing summary fire statistics, fire drill data, fire safety education procedures, and data regarding the nature, date, time, and general location of fires occurring in on-campus student housing facilities.

RETENTION

Keep for 3 years.

Official retention code: 3

LEGAL CITATIONS

34 CFR 668.49.

SFA16.3.5

Campus Fire Log and Statistics

Fire log and statistics on the number of fires, the number of persons who received fire-related injuries, the number of deaths related to fire, and the property damage caused by fire for each on-campus student housing facility.

RETENTION**Keep for 7 years.***Official retention code: 7***LEGAL CITATIONS**

34 CFR 668.49(c)(1).

SFA16.3.7**Archival, send to University Archivist**

Campus Notifications

Emergency notifications distributed to the campus community via email, text message, or other method regarding emergencies, evacuations, "timely warnings" related to public safety, and weather related instructions.

RETENTION**Keep for 3 years.***Official retention code: 3***SFA16.3.8**

Chemical Breath Test Records

Logs, test records, operational check lists, and similar records relating to the administration of chemical breath tests or breathalyzer.

RETENTION**Keep for 2 years.***Official retention code: 2***SFA16.3.9**

Child Abuse Reports

Copies of child abuse reports received by a law enforcement agency pursuant to Family Code, Sections 261.103 and 261.105, which do not become part of arrest and offense investigation records.

RETENTION**Keep for 3 years.***Official retention code: 3*

SFA16.3.10**Archival, send to University Archivist**

Clery Act Reporting - Annual Security Report

Annual security report summarizing statistics on the nature, date, time, general location, and disposition of the complaint (if known) of crimes investigated by campus police, created pursuant to the Clery Act.

RETENTION**Keep for 7 years.***Official retention code: 7***LEGAL CITATIONS**

20 USC 1092(f), 34 CFR 668.46.

SFA16.3.11

Clery Act Reporting - Crime Log and Statistics

Crime log and 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, pursuant to the Clery Act.

RETENTION**Keep for 7 years.***Official retention code: 7***LEGAL CITATIONS**

20 USC 1092(f), 34 CFR 668.46.

SFA16.3.13

Clery Act Reporting - Emergency Response and Evacuation Procedures

Policies developed to provide warning to students and employees of crimes representing a threat to safety, as pursuant to the Clery Act.

RETENTION**Keep for 7 years.***Official retention code: 7***NOTES**

See AIN SFA5.4.13 for Continuity of Operations Plans not part of Clery Act reporting.

LEGAL CITATIONS

20 USC 1092(f), 34 CFR 668.46(g).

SFA16.3.14

Communication Logs

Records of internal police communications, including telephone and radio logs.

RETENTION**Keep for 30 days.***Official retention code: 30 days*

NOTES

See AIN SFA16.3.18 for dispatch records.

SFA16.3.15**Criminal Intelligence and Analysis Files**

Records created and maintained to anticipate, prevent, or monitor possible criminal activity, including crime pattern, crime analysis, and modus operandi reports; forecasts; evaluation reports; investigation recommendations; reports on movements of known offenders; information on confidential informants; and messages and alerts from other agencies.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

CAUTION

Information compiled by a law enforcement agency concerning criminal combinations or criminal street gangs must be destroyed after 5 years if it meets certain criteria under Code of Criminal Procedure, 67.151(b).

LEGAL CITATIONS

Code of Criminal Procedure, 67.151(b).

SFA16.3.16**Daily Bulletins**

Daily routine informational communications for public safety officers and personnel on duty which may include daily blotter, weather advisories, hazardous conditions, and reminders about "be on the lookout for" (BOLO) notifications.

RETENTION

Keep for 1 year.

Official retention code: 1

SFA16.3.17**Death in Custody Reports**

Reports submitted by the director of a law enforcement agency to the Attorney General concerning the deaths of persons while in the custody of a peace officer.

RETENTION

Keep for 3 years.

Official retention code: 3

LEGAL CITATIONS

Code of Criminal Procedure, 49.18.

SFA16.3.18**Archival, send to University Archivist**

Dispatch Reports

Record created by dispatcher on each call for service documenting the dispatch of a campus police officer to investigate a disturbance or possible crime on the institution's campus. Includes date and time call received, nature of call, and details of action taken in response to call.

RETENTION**Keep for 2 years.***Official retention code: 2***SFA16.3.20**

Emergency Protective Orders

Emergency protective orders issued by magistrates.

RETENTION**Keep for the period that the order is effective.***Official retention code: AC***LEGAL CITATIONS**

Family Code, 85.025, Code of Criminal Procedure, 17.292(j).

SFA16.3.23

Field Interrogation Reports

Reports on persons stopped and interrogated in the field because of suspicious behavior.

RETENTION**Keep as long as administratively valuable.***Official retention code: AV***SFA16.3.24**

Fingerprint Records - Other

Fingerprint records other than those maintained in arrest records and offense investigations.

RETENTION**Keep as long as administratively valuable.***Official retention code: AV***NOTES**

For fingerprints collected during an investigation or arrest, see AIN SFA16.3.2, SFA16.3.33, SFA16.3.35, SFA16.3.37, and SFA16.3.38.

SFA16.3.26

GPS Tracking Records

Global Positioning System (GPS) data used to track locations of police and other state vehicles.

RETENTION

Keep for 30 days.

Official retention code: 30 days

CAUTION

If the GPS data is used to establish the location of a police vehicle as part of an investigation, see investigation case file. The disposal of monitoring records that are automatically overwritten need not be documented through destruction authorizations (AIN SFA1.2.1) or in records disposition logs (AIN SFA1.2.10).

SFA16.3.27

Campus Security and Incident Reports

Reports concerning suspicious incidents, complaints, and dating and domestic violence that, after investigation, did not appear to have involved the commission of a crime or do not become a part of arrest or offense investigation records.

RETENTION

Keep for 3 years.

Official retention code: 3

CAUTION

See AIN SFA16.3.11 for reporting of all incidents required by the Clery Act.

SFA16.3.28

Law Enforcement Information Dissemination, Inquiry, and Receipt Records

Reports, logs, and other records pertinent to documenting the dissemination and receipt of criminal histories and dissemination of other information to law enforcement or other agencies through crime information networks (e.g., Texas Crime Information Center [TCIC], National Crime Information Center [NCIC]).

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

CAUTION

Departments other than campus law enforcement see AIN SFA3.1.26 for criminal history checks.

SFA16.3.29**Internal Affairs Investigation Records - Death/Injury**

Records documenting the initiation, investigation, and disposition of internal affairs investigations of alleged misconduct by law enforcement officers. Includes records of investigation of law enforcement shooting incidents which result in death or injury to any person, including a police officer.

RETENTION**Keep permanently.***Official retention code: PM***SFA16.3.30****Internal Affairs Investigation Records - Formal Discipline**

Records documenting the initiation, investigation, and disposition of internal affairs investigations of alleged misconduct by law enforcement officers. Includes records of investigations that result in sustained formal discipline (i.e., disciplinary action at or above the level of a written reprimand).

RETENTION**Keep for 15 years after completion of the investigation.***Official retention code: AC + 15***SFA16.3.31****Internal Affairs Investigation Records - Informal Discipline/Inconclusive**

Records documenting the initiation, investigation, and disposition of internal affairs investigations of alleged misconduct by law enforcement officers. Includes records of investigations that result in sustained informal discipline (i.e., disciplinary action below the level of a written reprimand) or of investigations whose findings are inconclusive.

RETENTION**Keep for 5 years after completion of the investigation.***Official retention code: AC + 5***CAUTION**

A 1-year infraction-free period must precede the date of destruction.

SFA16.3.32**Internal Affairs Investigation Records - Unfounded/Not Sustained**

Records documenting the initiation, investigation, and disposition of internal affairs investigations of alleged misconduct by law enforcement officers. Includes records of investigations whose findings are not sustained, or in cases where accusations are determined to be unfounded or the accused is exonerated.

RETENTION**Keep for 3 years after completion of the investigation.***Official retention code: AC + 3*

CAUTION

A 1-year infraction-free period must precede the date of destruction.

SFA16.3.33**Missing and Unidentified Persons Files**

Reports on missing children and adults, requests for investigation, photographs, fingerprints, dental records, X-rays, notifications of possible match, and similar documents relating to the location of missing children and adults, including similar records relating to unidentified bodies.

RETENTION

Keep for 3 years after the date person located or body identified.

Official retention code: AC + 3

SFA16.3.34**Mug Books**

Photographs or mug shots of known offenders used by crime victims or witnesses for identification, other than those maintained in arrest records and offense investigations.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

SFA16.3.35**Offense Records - Class A and B Misdemeanors and State Jail Felonies**

Cases 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. May include but not limited to: offense and supplemental offense reports; investigation reports and notes; witness statements; latent fingerprints; results of chemical analysis and polygraph tests; crime scene, mug shot, and other photographs; laboratory reports; citations; affidavits; criminal process; victim impact statements; and other records relating and customary to the investigation of criminal offenses or other violations of state law or local ordinance.

RETENTION

Keep for 2 years.

Official retention code: 2

CAUTION

Records of cases not cleared must be retained until the statute of limitations has expired.

CAUTION

For retention of juvenile case files, consult Family Code 58.264(b).

NOTE: Records may be destroyed upon the death of the individual, if known.

SFA16.3.36**Offense Records - Class C Misdemeanors**

Arrest reports and citations for Class C misdemeanors and unclassified violations of state law or local ordinance punishable by fine only, such as Minor in Possession (MIP), Minor in Consumption (MIC), and possession of drug paraphernalia.

RETENTION

Keep for 6 months.

Official retention code: 6 months

CAUTION

For retention of juvenile case files, consult Family Code 58.264(b).

SFA16.3.37**Offense Records - First-Degree and Capital Felonies**

Cases 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. May include but not limited to: offense and supplemental offense reports; investigation reports and notes; witness statements; latent fingerprints; results of chemical analysis and polygraph tests; crime scene, mug shot, and other photographs; laboratory reports; citations; affidavits; criminal process; victim impact statements; and other records relating and customary to the investigation of criminal offenses or other violations of state law or local ordinance.

RETENTION

Keep for 50 years.

Official retention code: 50

CAUTION

Records of cases not cleared must be retained until the statute of limitations has expired.

CAUTION

For retention of juvenile case files, consult Family Code 58.264(b).

NOTE: Records may be destroyed upon the death of the individual, if known.

SFA16.3.38**Offense Records - Second- and Third-Degree Felonies**

Cases 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. May include but not limited to: offense and supplemental offense reports; investigation reports and notes; witness statements; latent fingerprints; results of chemical analysis and polygraph tests; crime scene, mug shot, and other photographs; laboratory reports; citations; affidavits; criminal process; victim impact statements; and other records relating and customary to the investigation of criminal offenses or other violations of state law or local ordinance.

RETENTION

Keep for 10 years.

Official retention code: 10

CAUTION

Records of cases not cleared must be retained until the statute of limitations has expired.

CAUTION

For retention of juvenile case files, consult Family Code 58.264(b).

NOTE: Records may be destroyed upon the death of the individual, if known.

SFA16.3.39**Parking Citation Records**

Citations issued to regular on-campus parking, including petitions to appeal citations.

RETENTION

Keep for 6 months after the ticket is paid or the appeal is resolved, as applicable.

Official retention code: AC + 6 months

NOTES

See AIN SFA4.1.9 for payment of fines.

SFA16.3.41**Pawn Shop Tickets**

Information supplied by pawn shops and sent to law enforcement. Includes individual receipts or lists of items pawned.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

SFA16.3.42

Archival, send to University Archivist

Police Activity Logs or Dockets

Logs or equivalent records, usually arranged chronologically or by case, court, or citation number, providing summary data on complaints investigated by law enforcement officers, arrests made, citations issued, accidents investigated, court arraignments, court appearances by officers, and similar activities relating to the arrest or citation of persons or the investigation of offenses.

RETENTION

Keep for 2 years.

Official retention code: 2

SFA16.3.43**Police Animal Records**

Records concerning horses, dogs, or other animals utilized by campus police, including records of the acquisition of the animal, its registration and pedigree papers, records of training, and its veterinary history.

RETENTION

Keep for 2 years after retirement, death, or sale of the animal.

Official retention code: AC + 2

SFA16.3.44**Police Audiovisual Recordings**

Audiovisual recordings, including those from police vehicles, body worn cameras, or digital cameras, of persons detained for possible Driving While Intoxicated (DWI) or other violations.

RETENTION

Keep for 90 days after whichever applicable event occurs last: the date of the stop, completion of the investigation, or final adjudication of criminal matters.

Official retention code: AC + 90 days

CAUTION

A recording created with a body worn camera and documenting an incident that involves the use of deadly force by a peace officer or that is otherwise related to an administrative or criminal investigation of an officer may not be deleted, destroyed, or released to the public until all criminal matters have been finally adjudicated and all related administrative investigations have concluded.

CAUTION

For retention of juvenile recordings, see Family Code 54.012.

The disposal of police audiovisual recordings need not be documented on a disposition log, but institutions should establish procedures governing disposal of these records as part of its records management plan.

SFA16.3.46**Polygraph Examination Records**

Polygraph charts, question sheets, reports of examination results, data sheets, films, audio and video of examinations, opinions from the examiner from chart analysis, and other records pertinent to a polygraph examination.

RETENTION

Keep for 2 years.

Official retention code: 2

CAUTION

If a report of the results of a polygraph examination is placed in offense investigation records, it must be retained for the retention period for those records.

See AIN SFA3.1.43 for polygraphs related to employee selection.

SFA16.3.47

Rap Sheets

Rap sheets received from the Texas Department of Public Safety (DPS) or other law enforcement agencies.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

SFA16.3.48

Special Watch Records

Informational forms or lists provided to officers for campus areas, buildings, or residences needing special watch, including requests from the public for such watches.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

SFA16.3.50

Wanted Persons Files

Records received on persons wanted by other law enforcement agencies.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

SFA16.3.51

Warning Citations

Warning citations issued for violations of motor vehicle laws or for those violations of the penal code (e.g., criminal trespass) in which the issuance of warning citations is customary.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

NOTES

See AIN SFA16.3.39 for parking citations.

SFA16.3.52**Weapons Records - Disposition**

Records documenting the disposition of police weapons, including but not limited to buy-back programs, trade-ins, and upgrades with vendors.

RETENTION**Keep for 3 years.***Official retention code: 3***SFA16.3.53****Weapons Records - Inspection and Repair**

Records of inspection and repair of weapons.

RETENTION**Keep until the asset is disposed of.***Official retention code: LA***SFA16.3.54****Weapons Records - Inventory**

Inventories of weapons.

RETENTION**Keep for 3 years after being superseded.***Official retention code: US + 3***SFA16.3.55****Weapons Records - Issuance**

Logs for issuing weapons to officers.

RETENTION**Keep for 3 years after return of weapon.***Official retention code: AC + 3*

16.4 — Housing and Dining

5 record series

SFA16.4.1

Alcoholic Beverage Control Records

Annual and temporary event licensing for dispensing and serving alcoholic beverages. May include but not limited to: alcohol use requests or waivers; applications for event licenses or permits; and related documentation.

RETENTION

Keep for 3 years after the date of event or revocation of license, as applicable.

Official retention code: AC + 3

NOTES

See AIN SFA11.1.10 for other permits and licenses issued by the university.

SFA16.4.2

Menus

Approved dining menus for each food service location.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

CAUTION

If menu's primary function is providing a price list, see AIN SFA5.1.12.

SFA16.4.3

Non-Tenant/Denied Student Housing Applications

Applications and selection decision documentation for applications that do not result in occupancy. May also include consumer reports and authorizations to obtain credit information.

RETENTION

Keep for 1 year after the end of application term.

Official retention code: AC + 1

CAUTION

If the institution obtains credit report information, then records created under this series must be retained 5 years beyond the application term. Fair Credit Reporting Act (FCRA), 15 USC 1681p.

See AIN SFA16.4.5 for applications that do result in occupancy.

SFA17.3.4**Institutional Biosafety Committee**

Meeting minutes and reports of the Biosafety Committee.

RETENTION

Keep for 3 years.

Official retention code: 3

LEGAL CITATIONS

42 CFR 73.17(c).

SFA17.3.5

Archival, send to University Archivist

Institutionally Funded Research - Minutes and Final Research Reports

This series documents the activities of the institutional councils and boards, which review proposals and make recommendations for awards to faculty for research that is not otherwise supported by organized or directed programs but is designed to lead to other funding sources. Examples of projects funded are pilot research, emergency funding, emerging research opportunities, new research field or new research field for investigator, developing research laboratories, and centrally shared research resources. This series includes meeting minutes and final research reports.

RETENTION

Keep permanently.

Official retention code: PM

LEGAL CITATIONS

21 CFR 56.115(b), 42 CFR 73.17(c).

SFA17.3.7**Institutionally Funded Research - Project Review Records**

This series documents the activities of the institutional councils and boards, which review proposals and project funding requirements to make recommendations for awards to faculty for research that is not otherwise supported by organized or directed programs but is designed to lead to other funding sources. Examples of projects funded are pilot research, emergency funding, emerging research opportunities, new research field or new research field for investigator, developing research laboratories, and centrally shared research resources. May include but not limited to: applicant case files; agendas; notes; working papers; award letters; and applications for research support.

RETENTION

Keep for 5 years after the date of notification.

Official retention code: AC + 5

LEGAL CITATIONS

21 CFR 56.115(b).

SFA18.2.14**Archival, send to University Archivist**

Individual Athletes Records

Athletic history of each athlete who has competed at the institution. Frequently, this series is a continuation of the recruitment file and includes recruitment records if an athlete signs a letter of intent. May include but not limited to: academic major information, including performance reports; admissions verification reports; academic transcripts; financial aid information; recruitment information documents; medical and injury reports; media articles; photographs; release of information forms; personal data questionnaires; and records of awards.

RETENTION**Keep for 5 years after the date of separation from the institution.***Official retention code: AC + 5***ARCHIVES NOTE**

Only public profile records are subject to archival review. Confidential information should be removed or redacted upon archival transfer.

SFA18.2.16

Playbooks

Strategies and game plays for each game in the season.

RETENTION**Keep for 5 years.***Official retention code: 5***SFA18.2.18**

Recruiting Records - Athletics

Recruitment of athletes into the institution's intercollegiate athletics program. The series also provides a record of the recruitment process for prospective players created by the institution to comply with NCAA, NAIA and conference rules and regulations. May include but not limited to: the institution's football questionnaire forms with personal, scholastic, football, general, and transcript release information; information request cover sheets; grade transcripts; Information for Certification of NCAA Freshman Athletics Eligibility Compliance; letters of intent; copies of admissions forms and materials; and ongoing performance and eligibility reports.

RETENTION**Keep for 5 years after the end of eligibility.***Official retention code: AC + 5*

SFA18.2.19**Sports Merchandising Records**

Administration of the sale of institutional and NCAA or NAIA-licensed merchandise at sporting events. May include but not limited to: sales reports; merchandise comment sheets; branding and promotion campaigns; and related merchandising working files.

RETENTION

Keep through the end of the fiscal year, then retain for 3 additional years.

Official retention code: FE + 3

NOTES

See AIN SFA4.1.9 for accounts receivable records.

18.3 — Faculty and Staff Organizations

1 record series

SFA18.3.1**Faculty and Staff Election Records**

Records of elections held by various faculty and staff organizations. May include but not limited to: ballots; tabulations; and related documentation.

RETENTION

Keep until the results are verified.

Official retention code: AC

100 — SFA Specific Records

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100.2 — Academic, Enrollment, and Instructional Records

11 record series

SFA100.2.7**Athletic Eligibility Records - Student****RETENTION**

Keep for 6 years.

Official retention code: 6

NOTES

BUCKLEY Amendment, Confidential Record. All audit requirements will be met prior to disposal.

SFA100.2.9**Attendance Records - Students****RETENTION****Keep for 5 years.***Official retention code: 5***NOTES**

BUCKLEY Amendment, Confidential Record.

SFA100.2.11**Comprehensive Exams - Students****RETENTION****Keep for 5 years.***Official retention code: 5***SFA100.2.12****Course Equivalencies****RETENTION****Keep for 1 year after being superseded.***Official retention code: US + 1***SFA100.2.17****Degree Plans - Student****RETENTION****Keep for 6 years.***Official retention code: 6***NOTES**

BUCKLEY Amendment, Confidential Record. For final degree plans, see AIN SFA100.2.20.

SFA100.2.19**Enrollment Verification - Students****RETENTION****Keep for 1 year after graduation or date of last attendance.***Official retention code: AC + 1***NOTES**

BUCKLEY Amendment, Confidential Record.

SFA100.2.20**Final Graduation/Degree Plans****RETENTION****Keep for 6 years after the date of final plan.***Official retention code: AC + 6***SFA100.2.25****Graduation Status and Ranking****RETENTION****Keep permanently.***Official retention code: PM***NOTES**

BUCKLEY Amendment, Confidential Record. The retention period is based on AACRAO guidelines.

SFA100.2.27**Permits for Admission to Register**

Permission form given to a student to register for a class that is either closed or permit only.

RETENTION**Keep as long as administratively valuable.***Official retention code: AV***NOTES**

BUCKLEY Amendment, Confidential Record.

SFA100.2.37**Textbooks Adoption Records****RETENTION****Keep for 3 years.***Official retention code: 3***SFA100.2.38****Transcript Requests****RETENTION****Keep for 1 year after the date Submitted.***Official retention code: AC + 1***NOTES**

BUCKLEY Amendment, Confidential Record.

SFA100.6.12**Faculty Development Leave Records**

Applications for faculty development leaves of absence, evaluations of and recommendations on leave requests, and associated records documenting a faculty development leave program.

RETENTION

Keep through the end of the fiscal year, then retain for 3 additional years.

Official retention code: FE + 3

SFA100.6.16a**Liability Release Forms/Records - Participant over 18 years of age****RETENTION**

Keep for 4 years after the end of activity, event, or program for which the waiver or release is issued.

Official retention code: AC + 4

NOTES

Opinion, SFASU - General Counsel

SFA100.6.16b**Liability Release Forms/Records - Participant under 18 years of age****RETENTION**

Keep for 20 years and 3 months after the end of activity, event, or program for which the waiver or release is issued.

Official retention code: AC + 20 + 3 months

NOTES

Opinion, SFASU - General Counsel

SFA100.6.19**Student Notification**

Notifications sent to faculty about a student's absence, death, temporary disability, etc.

RETENTION

Keep through the end of the fiscal year, then retain for 3 additional years.

Official retention code: FE + 3

200 — SFA Charter School Records

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200.1 — Student Academic and Enrollment Records

11 record series

SFA200.1.1

Academic Records

Cumulative record of achievement in grades Pre-K through 8.

RETENTION

Keep for 5 years after the date of withdrawal.

Official retention code: AC + 5

SFA200.1.2

Birth Date Documentation

Copies of birth certificates, church records, bible records, passport or immigration records, or other documents used to establish a date of birth.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

SFA200.1.3

Custody Documents

Copies of court instruments relating to adoption, guardianship, or custody.

RETENTION

Keep until the student is 18.

Official retention code: AC

NOTES

Retention Note: It is an exception to the retention period given that a court order superseded by a subsequent order (e.g., a change in guardianship) need be retained only as long as administratively valuable and is exempt from the destruction notice requirement.

SFA200.1.3a

Protective Orders

RETENTION

Keep until order expires.

Official retention code: AC

SFA200.1.4**Enrollment or Registration Forms****RETENTION****Keep for 7 years after the date of withdrawal.***Official retention code: AC + 7***SFA200.1.5****Home Language Surveys****RETENTION****Keep for 7 years after the date of withdrawal.***Official retention code: AC + 7***SFA200.1.6****Parental Permission Records**

Parental consents for a student to engage in school activities or programs, except consents noted elsewhere in this schedule.

RETENTION**Keep for 3 years after the end of program session or student separation from program, as applicable.***Official retention code: AC + 3***NOTES**

Retention Note: If a student is involved in an accident while engaged in an activity for which parental consent was granted, the consent form or statement must be retained for the same period as Accident Reports (See AIN SFA200.5.1).

SFA200.1.7**Student Withdrawal/Record Transfer Form**

(TEA form PEIMS-100)

RETENTION**Keep as long as administratively valuable.***Official retention code: AV*

SFA200.1.8a**Test and Academic Measurement Reports**

Reports of results of TAAS, TEAMS, TABS, STAAR and other standardized state and national achievement, mental abilities, and aptitude tests reported by score, percentile rank, etc.

RETENTION

Keep for 1 year after recording of data in the academic achievement or cumulative record.

Official retention code: AC + 1

SFA200.1.8b**Test and Academic Measurement Reports**

Reports of results of other tests or measurements (e.g., reading/mathematics profiles).

RETENTION

Keep for 7 years after the date of withdrawal.

Official retention code: AC + 7

SFA200.1.8c**Test and Academic Measurement Reports**

District summaries on a group basis of the results of standardized testing.

RETENTION

Keep for 3 years.

Official retention code: 3

LEGAL CITATIONS

[By regulation - 34 CFR 99.32(a)(2).]

200.2 — Student Records Access and Amendment

7 record series

SFA200.2.1**Access Policies**

Written policies and procedures demonstrating how a district meets the requirements of the Family Educational Rights and Privacy Act of 1974, as amended and federal rules adopted under the act.

RETENTION

Keep until superseded.

Official retention code: US

SFA200.2.2a**Access to Information, Records of**

Documentation of requests from and disclosures to the parent or eligible student, to an official of the district for what the district has determined are legitimate educational interests, to a party with written consent from the parent or eligible student, or to a party seeking directory information.

RETENTION**Keep for 2 years.***Official retention code: 2***SFA200.2.2b****Access to Information, Records of**

Documentation of requests from and disclosures to any party not included in (SFA200.2.2a).

RETENTION**Keep permanently.***Official retention code: PM***LEGAL CITATIONS**

By regulation - 34 CFR 99.21(c)(1).

SFA200.2.2c**Access to Information, Records of**

Written consents from the parent for information disclosure.

RETENTION**Keep until the student is 18.***Official retention code: AC***SFA200.2.2d****Access to Information, Records of**

Written refusals from the parent or eligible student to the disclosure of directory information.

RETENTION**Keep until the date of withdrawal.***Official retention code: AC*

SFA200.2.3**Protest of Record Statements**

Statements by parents or eligible students commenting on contested information in a student record, or stating why they disagree with a district's decision not to amend a record, or both.

RETENTION

Keep for as long as the record containing the contested information is maintained, then for as long as administratively valuable.

Official retention code: AC

LEGAL CITATIONS

34 CFR 99.21(c)(1).

SFA200.2.4**Record Amendment Requests and Related Documentation**

Requests from parents or eligible students to amend student records, notices by the district of denial or consent to amendments, requests for hearings on denied requests, hearing notices, and written decisions by hearing examiners.

RETENTION

Keep for 2 years.

Official retention code: 2

200.3 — Special Programs Student Records

14 record series

SFA200.3.1**Enrollment Lists and Rosters, Special Education****RETENTION**

Keep for 7 years.

Official retention code: 7

SFA200.3.2**Student Records, Special Education Program**

Records of each student referred to or receiving special education services, including referral, assessment, and reevaluation reports; enrollment and eligibility forms; admission, review and dismissal (ARD) and transitional planning committee documentation; individual educational (IEP) and transitional (ITP) plans; parent consent forms for testing and placement; and other records of services required under federal and state regulation.

RETENTION

Keep for 7 years after cessation of services.

Official retention code: AC + 7

SFA200.3.3**Student Records, Bilingual and Special Language Program**

Records of each student referred to or receiving bilingual or special language services, including recommendations from parents or teachers for bilingual instruction, student interview documentation, notifications to parents, parental consents or denials, language proficiency assessment committee (LPAC) reports, exit reports, follow-up study reports, and other records of services required by state regulation or pertinent to the identification of students for bilingual education or special language programs.

RETENTION**Keep for 7 years after cessation of services.***Official retention code: AC + 7***SFA200.3.4****Student Records - 504 Program**

Records of each student referred to or receiving services under Section 504, including referral, preplacement, and reevaluation reports, parental notices; group and impartial hearing deliberations; and other records of services required under Section 504 regulations

RETENTION**Keep for 7 years after cessation of services.***Official retention code: AC + 7***SFA200.3.5****Enrollment Lists and Rosters - Dyslexia Program****RETENTION****Keep for 5 years after cessation of services.***Official retention code: AC + 5***SFA200.3.6****Student Records - Dyslexia Program**

Records of each student referred to or receiving dyslexia program services, including referral and assessment reports; group deliberations; parental notices; and other records of services required under state regulation.

RETENTION**Keep for 5 years after cessation of services.***Official retention code: AC + 5*

SFA200.3.7**Daily Migrant Student Record Transfer System (MSRTS) Logs****RETENTION****Keep for 7 years.***Official retention code: 7***SFA200.3.8****MSRTS Enrollment and Withdrawal Reports****RETENTION****Keep for 7 years.***Official retention code: 7***SFA200.3.9****MSRTS Monitoring Documentation**

Summaries of eligibility verifications and validations, parent/guardian questionnaires, copies of validated certificates of eligibility, and copies of any correspondence from a school district to a regional educational service center requesting deletion of ineligible children from the MSRTS.

RETENTION**Keep for 7 years.***Official retention code: 7***SFA200.3.10****MSRTS Recruiting Records**

Recruiter logs, questionnaires, and similar records documenting efforts of recruiters to identify and enroll currently and formerly migrant students.

RETENTION**Keep for 7 years.***Official retention code: 7***SFA200.3.11****MSRTS Student Records**

Certificates of eligibility.

RETENTION**Keep for 7 years after the end of eligibility.***Official retention code: AC + 7*

SFA200.3.12**MSRTS Student Records**

Copies of most current educational and health records or forms providing educational and health updates information from which is transmittable to regional educational service centers for data entry

RETENTION**Keep until superseded.***Official retention code: US***SFA200.3.13****MSRTS Student Records**

Data verification reports from the MSRTS center in Little Rock

RETENTION**Keep as long as administratively valuable.***Official retention code: AV***SFA200.3.14****McKinney Homeless Assistance Act Student Records**

Records relating to the McKinney-Vento Homeless Assistance Act which are completed when a student enrolls.

RETENTION**Keep for 7 years.***Official retention code: 7***200.4 — Attendance and Transfer Records**

6 record series

SFA200.4.1**Attendance Control Documentation**

Correspondence to and from parents or guardians concerning absences and tardiness.

RETENTION**Keep for 2 years.***Official retention code: 2*

SFA200.4.2**Attendance Control Documentation**

Correspondence with law enforcement or other agencies concerning violations of the compulsory school attendance law, including all associated documentation.

RETENTION**Keep for 2 years.***Official retention code: 2***SFA200.4.3****Attendance Officer's Logs and Reports of Parents or Guardians Visited****RETENTION****Keep for 2 years.***Official retention code: 2***SFA200.4.4****Attendance Reports**

Copies of attendance and enrollment reports submitted to the TEA, including those term and period reports submitted to the superintendent by principals for the purposes of compiling state-mandated reports.

RETENTION**Keep for 5 years.***Official retention code: 5***SFA200.4.5****Attendance Reports - Daily Registers**

Daily registers of pupil attendance and similar daily or periodic reports used to document the attendance and absence of students.

RETENTION**Keep for 5 years.***Official retention code: 5***SFA200.4.6****Transfer, Applications for and Associated Reports**

Documentation concerning the transfer and enrollment of students in districts other than those in which they are resident.

RETENTION**Keep for 7 years.***Official retention code: 7*

200.5 — Student Health Records

12 record series

SFA200.5.1

Accident Reports

Reports of accidents to students.

RETENTION

Keep for 3 years after the date student turns 18.

Official retention code: AC + 3

SFA200.5.2

Correspondence with Parents or Guardians

Correspondence to and from parents or guardians concerning student health matters.

RETENTION

Keep for 2 years.

Official retention code: 2

SFA200.5.3

Cumulative Health Card or Record

RETENTION

Keep for 2 years after the date of withdrawal.

Official retention code: AC + 2

SFA200.5.4

Emergency Cards

Card or other form of record providing information on whom to contact in case of accident or illness to a student.

RETENTION

Keep until the emergency information is superseded or the student withdraws, whichever occurs first.

Official retention code: AC

SFA200.5.5

Exclusion Documentation - Medical Contraindications

Affidavits or similar documents seeking the exclusion of students from participation in immunization or other health care programs for medical reasons, or verifications of previous illness or health testing.

RETENTION

Keep for 2 years after the date of withdrawal.

Official retention code: AC + 2

SFA200.5.6**Exclusion Documentation - Religious Conflicts**

Affidavits or similar documents seeking the exclusion of students from participation in immunization or other health care programs for religious reasons, or verifications of previous illness or health testing.

RETENTION

Keep for 2 years after the date of withdrawal.

Official retention code: AC + 2

SFA200.5.7**Verifications of Mumps or Measles Illness****RETENTION**

Keep for 3 years.

Official retention code: 3

NOTES

See AIN SFA16.1.13 for other laboratory test results.

LEGAL CITATIONS

25 TAC 97.2

SFA200.5.8**Verifications of Prior Testing**

Verifications from physicians or health agencies of prior testing of sight, hearing and spinal curvature

RETENTION

Keep for 2 years after the date of withdrawal.

Official retention code: AC + 2

SFA200.5.10**Health Screening Documentation**

Vision, hearing, and spinal screening reports submitted to the Texas Department of State Health Services.

RETENTION

Keep for 3 years.

Official retention code: 3

SFA200.5.13

Archival, send to University Archivist

Reports to Enforcement Agencies

Copies of reports on child abuse or neglect, communicable disease, dog bites, drug offenses, missing children, or sexually transmitted disease submitted to the Texas Department of State Health Services, the Texas Health and Human Services Commission, or local law enforcement and animal control agencies.

RETENTION**Keep for 3 years.***Official retention code: 3*

SFA200.5.14

Special Health Care Records

Logs or reports of medications or treatment administered to students on a group or individual basis

RETENTION**Keep for 3 years.***Official retention code: 3*

SFA200.5.15

Special Health Care Records

Parent's requests and physician's authorizations for specialized health care.

RETENTION**Keep for 2 years after the end of validity of request or authorization.***Official retention code: AC + 2*

200.6 — Curriculum Records

1 record series

SFA200.6.1

Curriculum Guides

RETENTION**Keep until superseded.***Official retention code: US*

200.7 — Student Discipline and Counseling Records

3 record series

SFA200.7.1

Discipline Records - Expulsion

Records relating to the discipline, corporal punishment, suspension, and expulsion of charter school students maintained by superintendents, principals, and counselors, including parental conference reports and correspondence with parents.

RETENTION

Keep for 3 years.

Official retention code: 3

SFA200.7.2

Discipline Records - Non-Expulsion

Records relating to forms of discipline other than expulsion.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

SFA200.7.3

Student Guidance and Counseling Files

Individual K-12 student counseling files maintained by school counselors, including parental conference reports.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

200.8 — Accreditation and Planning Records

3 record series

SFA200.8.1

Accreditation Reports - TEA

Reports to the Texas Education Agency on accreditation planning or the self-monitoring of progress toward the achievement of goals.

RETENTION

Keep until the subsequent accreditation is completed.

Official retention code: AC

SFA200.8.2**Accreditation Reports - Investigative**

Accreditation investigative reports from the Texas Education Agency to the board of trustees of a school district.

RETENTION

Keep permanently.

Official retention code: PM

SFA200.8.3**Planning Records**

Self studies; planning documents used to establish goals and indicators; achievement reports; documents evidencing parent, community, and staff involvement in the establishment of performance objectives; and similar records created in school districts to plan for and monitor progress during interims between accreditation visits.

RETENTION

Keep until the subsequent accreditation is completed.

Official retention code: AC

200.9 — Food Service Records

8 record series

SFA200.9.1**Certificates of Authority**

Authorizations for persons to act on behalf of a school district in school lunch matters.

RETENTION

Keep for 5 years after being superseded.

Official retention code: US + 5

SFA200.9.2**Daily Food Service Records**

Daily record of full-price, reduced-price, and free breakfasts and lunches served.

RETENTION

Keep through the end of the fiscal year, then retain for 5 additional years.

Official retention code: FE + 5

SFA200.9.3**Food and Food Equipment Inventory****RETENTION**

Keep through the end of the fiscal year, then retain for 5 additional years.

Official retention code: FE + 5

SFA200.9.4**Free or Reduced-Price Meal Records, Application**

Applications from parents for free or reduced-price breakfasts or lunches. Rosters or lists of eligible students.

RETENTION

Keep through the end of the fiscal year, then retain for 5 additional years.

Official retention code: FE + 5

SFA200.9.5**Free or Reduced-Price Meal Records, Policy**

Policy statements on free and reduced-price meals.

RETENTION

Keep for 5 years after being superseded.

Official retention code: US + 5

SFA200.9.6**Health Inspection Reports****RETENTION**

Keep for 3 years.

Official retention code: 3

SFA200.9.7**Menu Planning Records****RETENTION**

Keep as long as administratively valuable.

Official retention code: AV

SFA200.9.8**Daily Menus****RETENTION**

Keep for 5 years.

Official retention code: 5

200.10 — Fire Safety Records

3 record series

SFA200.10.1

Evacuation and Fire Exit Plans

RETENTION

Keep until superseded.

Official retention code: US

SFA200.10.2

Fire Drill Records

Records of fire drills, including schedules, reports, correspondence with fire departments, and associated documentation.

RETENTION

Keep for 3 years.

Official retention code: 3

SFA200.10.3

Fire Safety Inspection Reports

RETENTION

Keep for 3 years.

Official retention code: 3

200.11 — Agency Fund Accounting Records

1 record series

SFA200.11.1

Agency Fund Accounting Records

Any accounts payable, accounts receivable, or ledgers and journals used to document the receipt and expenditure of local agency funds from clearing accounts that are custodial in nature.

RETENTION

Keep through the end of the fiscal year, then retain for 3 additional years.

Official retention code: FE + 3

200.12 — Personnel Certification and Evaluation Records

14 record series

SFA200.12.1

Application for Nonrenewable Permit

Copies of applications/recommendations for professional or paraprofessional certificates or permits endorsed by the superintendent or to other authorized school official and forwarded by the district or the applicant to the TEA for the purposes of certification or review of qualifications.

RETENTION

Keep for 1 year.

Official retention code: 1

SFA200.12.3

Audit Verification Cards

RETENTION

Keep until superseded.

Official retention code: US

NOTES

Note: The most recent audit verification card present in his or her personnel file upon separation of an employee must be retained PERMANENTLY

SFA200.12.4

Deficiency Plan

RETENTION

Keep until superseded by a teaching certificate, or for 5 years after the employee separates, as applicable.

Official retention code: AC + 5

SFA200.12.5

Performance Appraisal Record

Including documentation submitted by the teacher

RETENTION

Keep permanently.

Official retention code: PM

SFA200.12.6**Observation and Evaluation Forms**

Including documentation submitted by the teacher

RETENTION

Keep for 4 years after teacher signs for receipt of appraisal record.

Official retention code: AC + 4

SFA200.12.7**Appraisers Observation Notes**

Notes taken by appraisers during observations or similar written documentation created by the teacher's supervisor that, in combination with the formal observation, is used to determine credit for the criteria and indicators on the observation/evaluation forms

RETENTION

Keep until the teacher signs for receipt of the observation/evaluation form, then for as long as administratively valuable.

Official retention code: AC

SFA200.12.8**Teacher Assessment of Instructional Goals and Outcomes****RETENTION**

Keep as long as administratively valuable.

Official retention code: AV

SFA200.12.9**Professional Growth Plans****RETENTION**

Keep for 4 years.

Official retention code: 4

SFA200.12.10**Service Record Affidavits**

Affidavits attached to teacher service record claiming months served prior to the 1949-50 school year.

RETENTION

Keep permanently.

Official retention code: PM

SFA200.12.11**Statements of Commitment (Out of State Certificates)****RETENTION**

Keep for 5 years after receipt by the school of the Texas certificate or the date of separation, as applicable.

Official retention code: AC + 5

SFA200.12.12**Statements of Intention to Become a United States Citizen****RETENTION**

Keep as long as administratively valuable.

Official retention code: AV

SFA200.12.13**Teacher Certificate Registers****RETENTION**

Keep permanently.

Official retention code: PM

SFA200.12.14**Personnel Rosters**

Including those detailing assignments to grades, courses, etc.

RETENTION

Keep for 3 years.

Official retention code: 3

SFA200.12.15**Substitute Teaching Rosters****RETENTION**

Keep for 3 years.

Official retention code: 3

200.13 — TEA Reporting and Program Administration

7 record series

SFA200.13.1

Public Education Information Management System (PEIMS) Data Submissions

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

SFA200.13.2

Data Verification Reports

Data printouts or reports from the TEA or other agencies provided for informational purposes showing data received and entered in TEA or other agency databases and similar documents seeking confirmation of the accuracy of current data information.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

NOTES

Retention Note: For example, reports sent by Texas Education Agency (TEA) or an educational service center showing data received and entered as the result of Public Education Information Management System (PEIMS) data submissions fall under this record group as well as any retained copies of data verification reports returnable to Texas Education Agency (TEA), such as forms used to confirm and/or update data for the Texas School Directory.

SFA200.13.4

Program Approval Applications - Approved

Applications and supporting documentation for local programs that must be approved by the TEA before implementation but which do not involve the allocation of state or federal funds controlled by the agency.

RETENTION

Keep for 5 years after the record is superseded or the program ends, as applicable.

Official retention code: AC + 5

SFA200.13.5

Program Approval Applications - Not Approved

Applications and supporting documentation for local programs that must be approved by the TEA before implementation but which do not involve the allocation of state or federal funds controlled by the agency.

RETENTION

Keep as long as administratively valuable.

Official retention code: AV

SFA200.13.6**Requests for Waiver of TEA Policies and Rules - Requests Granted**

Approved requests and renewals of requests for waivers of TEA policies and rules, including any attached documentation.

RETENTION**Keep for 5 years.***Official retention code: 5*

SFA200.13.7**Requests for Waiver of TEA Policies and Rules - Requests Not Granted**

Denied requests and renewals of requests for waivers of TEA policies and rules, including any attached documentation.

RETENTION**Keep as long as administratively valuable.***Official retention code: AV*

SFA200.13.8**School Calendar****RETENTION****Keep for 2 years after being superseded.***Official retention code: US + 2*

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