



**The University of Texas System**

# **Records Retention Schedule**

**8<sup>th</sup> Recertified, 5<sup>th</sup> Amended Version**

**Effective July 31, 2025**

SLR 105C

Form SLR 105 or SLR 122  
must accompany all  
submissions of this form.



## STATE OF TEXAS

**Records Retention Schedule Certification****Section 1. Agency Information***(Submitting agencies complete this section only)*

Agency Code 720  
Agency Name The University of Texas System

*(Check one)*

- ☐ Initial Certification - Form SLR 105  
☐ Recertification - Form SLR 105  
☒ Amendment - Form SLR 122

*I hereby certify that this records retention schedule was  
prepared in accordance with Texas Government Code,  
Chapter 441, Subchapter L.*

*(Check one)*

- ☐ Agency Head  
☒ Records Management Officer

Signature Angela Ossar

Name (Print or type) Angela Ossar

Date May 14, 2025

**Section 2. Approvals***(Submitting agencies do not write in this section)***State Auditor's Office***(For the exclusive use of the State Auditor's Office)*

Signature

Name (Print or type)

Date

Not Required at This Time

**Texas State Library and Archives Commission***(For the exclusive use of the State Library and Archives Commission)*

Signature

Name (Print or type)

Date

Gloria Mera  
Gloria Mera  
7/31/25

Cert/Recert No.

8

Amendment No.

5



## Explanation of Codes

### Retention Codes:

Retention codes dictate how long a record must be retained. They are typically used in conjunction with a number of years, e.g., "AC+5."

Code	Explanation
AC	<b>After Closed</b> (or terminated, completed, expired, or settled): The record is related to a function or activity with a finite closure date. Refer to the "AC Definition" field for the specific closing event for this record series.
AV	<b>As Long as Administratively Valuable</b> : The immediate purpose for which the record was created has been fulfilled and any subsequent need for the record to conduct the operations of the agency, if any, has been satisfied.
CE	<b>Calendar Year End</b> : December 31 of the year in which the record was created.
FE	<b>Fiscal Year End</b> : August 31 of the fiscal year in which the record was created.
LA	<b>Life of Asset</b> : The disposal date of the asset.
PM	<b>Permanent</b> : Do not destroy; the record possesses enduring legal, fiscal, or administrative value and must be preserved in perpetuity by University of Texas System Administration.
US	<b>Until Superseded</b> : The record is replaced by an updated version.

### Archival Codes:

Archival codes indicate historical research value. When an archival record has met retention, it must be either transferred to an archives for long-term preservation or reviewed by an archivist to determine whether it merits long-term preservation.

Code	Explanation
I	The record must be transferred to the UT System Archives at the Briscoe Center for American History, UT Austin, when retention is met.
O	The UT System Administration archives must be contacted for an archival review of the record when retention is met. Records determined to possess enduring historical value must be transferred to the archives for long-term preservation.

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# CAUTION

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

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

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





# STATE OF TEXAS Records Retention Schedule

SLR 105  
Rev. 2021-07

## Retention Codes (field 7)

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

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

## Archival Codes (Field 10)

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

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1. Agency Code: <b>720</b>		2. Agency Name: <b>University of Texas System Administration</b>									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
ALL1851	4.1.009	<b>Account Reconciliations</b>	Departmental copies of internal budgets, invoices, or reconciliations, including any related tracking systems.	FE	3						
*ALL1801	1.1.013	<b>Calendars</b>	Calendars, appointment books, or other itinerary records that document business activities.		2					<b>CAUTION:</b> Not for calendars of the Chancellor or Board of Regents; see CHA2143 and BOR2143.	
*ALL2217	5.1.001a	<b>Contract Management</b>	Contract sponsor or departmental contract administrator (DCA) documentation of managing a contract from execution through closeout. Includes, but is not limited to, reports and deliverables required by the contract, documentation of monitoring activities, and general correspondence related to the contract. May also include reference copies of contracts, checklists, amendments, purchase orders, change orders, and contractor invoices.	AC	7			AC=Expiration or termination of the contract according to its terms.		<b>CAUTION:</b> Does not include building construction contracts; see item OCP1322. Does not include life insurance or retirement contracts; see OEB2158. See item CNP1003 for contracting records maintained by Contracts and Procurement.	



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*ALL2142	1.1.007	<b>Correspondence - Executive</b>	Incoming/outgoing and internal leadership, supervisory, managerial, executive, administrative, substantive, and other high-level correspondence in any media, including email or other electronic communication, pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.	AC	4			AC=End of term of service in agency.	O	<b>CAUTION:</b> This record series should be used only for correspondence that is not included in or directly related to another record series on this retention schedule. ARCHIVES NOTE: Only the executive correspondence of executive staff, board members, division directors and program heads require archival review.	
*ALL1798	1.1.008	<b>Correspondence - General</b>	Emails, letters, memos, or other communications concerning System operations that are not included in another record series on this schedule.		2						
*ALL2200	5.2.029	<b>Returned Mail</b>	Documentation of mail returned by the postal or other mail delivery services as undeliverable.	AC	1			AC=Date returned.			



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ALL2201	2.1.002	<b>Databases - Master Files and Application Data</b>	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records and associated processing files. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC	0			AC=Until electronic records are transferred to and made usable in a new system environment, or there are no electronic records being retained to meet an approved retention period established in this schedule that require the use of the system.			
*ALL2216	3.1.000	<b>Departmental Personnel Files</b>	Information about an employee that is maintained at the department level, usually by a supervisor or HR Liaison. May include but is not limited to checklists, notes, or working documents related to any personnel matter.	AC		6		AC=Date of separation or transfer to another department.		<b>CAUTION:</b> Checklists should be retained by the department until six months after separation from the department. All other records in the file must be transferred to the Office of Talent and Innovation immediately upon separation from the department.	
ALL2202	5.1.004	<b>Directories - Mail and Telecommunications Listings</b>	Any lists or directories of mailing addresses, telephone or fax numbers, or email addresses maintained by an agency on its employees or on entities or persons it serves.	AC	0			AC=Date superseded or discontinued.			
ALL1942	5.2.010	<b>Equipment Manuals</b>		LA	0						



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*ALL2214	11.1.006	<b>Event Planning Records</b>	Records relating to the planning and administration of a conference, forum, or other event. May include, but is not limited to: reports, planning meeting minutes, promotional materials, photographs, presentation materials, schedules of speakers and activities, registration and attendance lists, participant evaluations, room reservation lists, or catering services orders.		10					Does not include contracts; see ALL2217.	
ALL1849	4.5.002	<b>Fiscal Management Reports and Worksheets</b>	Internal and external periodic fiscal management reports and associated worksheets, including federal financial reports, salary reports, HUB reports, investment performance reports, etc.	FE	5						
*ALL2215	11.1.015	<b>Meetings – Governance/Advisory Committees</b>	Meetings of governance or advisory boards, councils, and committees. May include but is not limited to agendas, minutes, and related documentation and correspondence.		10				O	<b>CAUTION:</b> Does not include records of Board of Regents committees; see BOR1247 and BOR2117. For routine internal staff or committee meetings, see ALL2221.	





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ALL1827	1.1.023	<b>Organization Charts</b>	Charts or diagrams that show the structure of an agency and the relationships and relative ranks of its departments and job positions.	AC	0			AC=Date superseded or discontinued.	I	<b>ARCHIVES NOTE:</b> Only charts showing the overall arrangement and administrative structure of the agency require archival transfer. Organizational charts showing only department level detail are not considered archival and may be destroyed when they meet retention.	
*ALL1828	1.1.024	Plans and Planning Records	Plans and records relating to the process of planning new or redefined programs, services, or projects that are neither included in nor directly related to other records series in this schedule.		10				O	<b>CAUTION:</b> Some of these records may be confidential. For event planning, see ALL2214. For routine departmental planning, see ALL2221.	
*ALL1800	5.1.014	<b>Policies and Procedures - Business Operations</b>	Policies, procedures, or guidelines providing governance and direction for routine business operations that are not listed elsewhere on this schedule.	AC	1			AC=Date superseded or discontinued.			
*ALL1829	1.1.070	<b>Policies and Procedures - UTS/HOP</b>	Policies and procedures governing the U. T. System (UTS/Systemwide Policies) and U. T. System Administration (HOP/Handbook of Operating Procedures). Includes final published policies as well as working files that demonstrate the formulation, planning, modification, or implementation of the policies.	AC	3			AC=Until superseded, or termination of program, policy, or procedure, whichever applicable.	O	See BOR1866 for Regents' Rules and Regulations. ARCHIVES NOTE: Only published policies are subject to archival review. Working files used in creating policies may be destroyed when retention is met.	



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ALL2205	1.1.019	<b>Public Relations Records</b>	News, press releases, marketing files and collateral, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.	AC	2			AC=Date created.	O		
ALL2206	1.3.001	<b>Publications – Major (Archival)</b>	A publication is defined as information in any format that is publicly distributed by the agency, statutorily required to be distributed by the agency, or produced by the authority of or at the expense of the agency. The term generally does not include information distributed solely to internal staff, staff of other government agencies, or contractors/grantees of the agency. “Major” is defined by both the publication's authorship and its impact on Texas and Texans. Some examples of major publications include handbooks, guides, manuals, external newsletters, research reports or studies, and statistical compilations.	AC	2			AC=Publication is superseded or discontinued.	I	<b>ARCHIVES NOTE:</b> Copies of major publications must be submitted to the Texas State Publications Depository Program, TSLAC, by law. Design files, images, original artwork, or drafts created in the creation of a major publication are also considered archival.	Texas Government Code, Sec. 441.101-.106 and 13 TAC 3.1-.16



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ALL2207	1.3.001	<b>Publications – Minor (Non-Archival)</b>	Information in any format that is publicly distributed by the agency, statutorily required to be distributed by the agency, or produced by the authority of or at the expense of the agency. The term generally does not include information distributed solely to internal staff, staff of other government agencies, or contractors/grantees of the agency. Some examples of minor publications include brochures, announcements, artwork, and internal newsletters.	AC	2			AC=Publication is superseded or discontinued.		NOTE: Development files of minor publications (drafts, design files, images, etc.) are transitory information and may be destroyed when no longer needed for reference.	
ALL2208	1.2.013	<b>Records Access and Tracking Systems</b>	Documentation used to provide and improve access to records. Includes indexes, card files, shelf lists, registers, guides, and other finding aids.	AC	0			AC=When tracking system is superseded, or no longer needed because associated records have been destroyed.		<b>CAUTION:</b> These records must carry the same retention period and archival codes of the records they support.	
ALL1940	1.2.014	<b>Records Management Plans</b>	Departmental records management plans (DRMPs), file plans, and similar records that establish the procedures under which records are managed in a department.	AC	1			AC=Date superseded or discontinued.			
ALL2209	3.3.023	<b>Reimbursable Activity Records</b>	Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE	3						



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ALL1840	1.1.067	<b>Reports and Studies (Non-Fiscal)</b>	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.	AC	10			AC=Date of report.	O		
*ALL2221	1.1	<b>Routine Administration</b>	Records related to routine administrative or housekeeping activities of the agency, including records documenting departmental, committee, or team administration, planning and management. Includes general correspondence, staff meeting minutes and notes, and routine operational reports.	AC	2			AC=Date last modified.		Individual reminder or reference notes made by individuals are generally considered Transitory Information; see item number ALL1835. Only correspondence that is not included in or directly related to another record series on this schedule should be categorized under this record series. Includes RSIN 1.1.008, 1.1.063, 1.1.069.	
ALL2212	4.7.012	<b>Signature Authorizations</b>	Records establishing authority of an agency employee to authorize financial, legal, or operational transactions on behalf of an agency. Includes Delegated Signature Authority (DSA) memos or other records serving this purpose, including emails.	AC	4			AC=Until superseded, date of expiration, or termination of employment, whichever sooner.			



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					Years	Months	Days				
ALL1831	1.1.040	<b>Speeches, Papers, and Presentations</b>	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	2			AC=End of event, until superseded, or obsolete.	O	<b>ARCHIVES NOTE:</b> 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.	
*ALL1843		<b>Training Materials</b>	Final copy of conducted training materials. Includes, but is not limited to syllabi, presentations, instructor guides, handbooks, lesson plans, online modules, and other course material. May also include records of training administration such as outlines, syllabi, or attendance records.	AC	5			AC=Date of training session, after training materials are superseded, or termination of training program, as applicable.		Includes RSIN 1.1.043, 3.3.030, 5.4.007	Texas Health and Safety Code, Sec. 502.009(g) for hazardous materials training. 37 TAC Chapter 215 for police academy training.
*ALL1835	1.1.057	<b>Transitory Information</b>	Records of temporary usefulness that are not an integral part of another record series on this schedule and 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, are chat, text, and instant messages, telephone message notifications, drafts and working papers (except those that reflect the process of creating agency policies and procedures), and automatic replies.	AC	0			AC=Purpose of record has been fulfilled.		<b>CAUTION:</b> Records that document the fulfillment of the statutory obligations of U. T. System or the documentation of its functions, are unique to the agency, or are part of another record series listed on this schedule should not be assigned to this record series. The disposal of transitory information does not need to be documented.	



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ACA12	1.1.000	<b>Chronological Administrative Records</b>		AC	20			AC=End of term.			
*ACA1178	1.1.000	<b>Degree Programs - Working Files</b>	Letters or forms required by the Texas Higher Education Coordinating Board.	AC	5			AC=After approval by department head.		NOTE: OAA retains for reference only; more complete records are held by UT institutions, who are responsible for archival transfer.	
ACA1756	1.1.000	<b>Appointments by Governor</b>		FE	1				O		
ACA1956	3.1.014	<b>Presidential Search Committee Records</b>	May include notes of interviews with candidates; questions asked of applicants; audio and videotapes of job interviews; driving record and previous injury checks; and all other records that document the selection process, except for those noted in Remarks.	AC	2			AC=Date of the making of the record or the personnel action involved, whichever occurs later.		<b>CAUTION:</b> Does not include criminal history checks; see POL1766.	29 CFR 1602.49(a)
AUD1957	5.4.018	<b>Annual Audit Plan</b>	Includes working papers and agency risk assessment used to develop the plan.	AC	7			AC=After final plan has been issued.			Texas Government Code, Sec. 2102.013
AUD1958	3.1.019	<b>Performance Appraisals</b>	Job evaluations, performance appraisals, or other similar documents used to evaluate the performance of an employee.	FE	2						29 CFR 1620.32(c)
AUD1960	1.1.002	<b>Audits</b>	Audits and reviews performed by or on behalf of the agency, including the working papers that support the audit.	AC	7			AC=Publication or release of final audit findings.			



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AUD1962	5.4.019	<b>Quality Assessment Reviews – Other Programs</b>	Working papers and final reports of Quality Assessment reviews of outside entities, performed by System Audit Office staff.	AC	5			AC=After final report has been issued.		NOTE: Applies only to reviews led by a System Audit employee. If the System Audit employee is only participating in the review, workpapers may be considered transitory information.	
AUD1964	5.4.019	<b>Quality Assessment Reports – System Audit Office</b>	Reviews of the System Audit Office, performed by external/independent firms.	AC	10			AC=Until superseded, but see note.		NOTE: Retain the previous three reports until a new report is issued.	Texas Government Code, Sec. 2102.007(a)(5)
BOR1247	1.1.062	<b>Meetings - Supporting Documentation</b>	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.	PM					I		
*BOR1866	1.1.070	<b>Regents' Rules and Regulations</b>	Policies and procedures established for U. T. System by the Board of Regents. Includes final published rules as well as working files and related documentation used in creating rules.	PM					I		



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BOR1963	1.1.066	Reports - Biennial or Annual Agency (Narrative)	Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute. Includes working files and related documentation used in creating final report, but see Archives Note.	AC	6			AC=September 1 of odd-numbered calendar years.	I	ARCHIVES NOTE: The archival requirement is met by sending the final version of these reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission, per 13 TAC 3.3. Working files and related documentation used in creating the final report may be disposed of at the expiration of the retention period.	
BOR1965	3.1.013	Employment Contracts	Contracts or agreements regarding the terms and conditions of the employment of Chief Administrative Officers.	AC	7			AC=Termination of employment of Chief Administrative Officer.			Texas Government Code, Sec. 441.1855
BOR1966	3.1.027	Training and Educational Achievement Records (Individual)	Certificates of completion, certifications, licenses, transcripts, test scores, or similar records documenting the training, testing, certification, licensing, or continuing education achievements of an employee.	AC	5			AC=Termination of employment.			





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## Retention Codes (field 7)

AC – See field 9 for specific records series definition  
AV – Administratively valuable  
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FE – Fiscal year end  
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US – Until Superseded

## Archival Codes (Field 10)

A/I – Transfer to State/University Archivist  
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1. Agency Code: <b>720</b>		2. Agency Name: <b>University of Texas System Administration</b>									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
BOR1975	3.1.014	<b>Chancellor and Presidential Search Committee Records</b>	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; polygraph examination results; and all other records that document the selection process, except for those noted in Remarks	AC	2			AC=Date of the making of the record or the personnel action involved, whichever occurs later.		<b>CAUTION:</b> Does not include criminal history checks; see POL1766.	29 CFR 1602.49(a)
BOR1976	1.1.059	<b>Meetings, Certified Agendas or Audiovisual Recordings of Closed</b>	Agendas, minutes, or audiovisual recordings of closed meetings of state boards, commissions, committees, and councils.	AC	2			AC=The date of the meeting or completion of pending action involving the meeting, whichever is later.			Texas Government Code, Sec. 551.104(a)
BOR1978	1.1.007	<b>Correspondence - Executive (Regental)</b>	Correspondence, sent or received by the Board of Regents or any of its members, that pertains to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of the University of Texas System or its institutions.	PM							
BOR1979	1.1.060	<b>Meetings, Audiovisual Recordings of Open</b>	Audiovisual recordings of open meetings of state boards, commissions, committees, and councils.	AC	0	3		AC=Official approval of written minutes of the meeting by the Board of Regents.		<b>CAUTION:</b> These recordings must be retained at least 90 days.	



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					Years	Months	Days				
BOR2117	1.1.058	Meeting Agenda and Minutes	Agendas and minutes of meetings of the Board of Regents.	PM					I	ARCHIVES NOTE: Agency retains permanent record copy. The archival requirement will be met by sending a copy to the Briscoe Center for American History at UT Austin.	
*BOR2143	1.1.013	Calendars - Regental	Calendars, appointment books, or other scheduling or itinerary records maintained by or on behalf of the Board of Regents or any of its members.	AC	1			AC=End of term of service.	O		
BUD1000	4.9.001	Annual Operating Budgets	Required by the General Appropriations Act.	PM						Budget Office is the source of historical information for system and institutional inquiries.	
BUD1001	1.1.004	Legislative Appropriation Requests	Includes Legislative Appropriation Request (LAR) and any supporting documentation created and/or used to justify and support the request.	PM					I	Budget Office is the source of information for system and institutional inquiries. ARCHIVES NOTE: The final version of Legislative Appropriation Requests must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(3)(A).	
BUD1002	4.5.002	Fiscal Notes	Fiscal notes and working papers.	AC	6			AC=September 1 of odd-numbered calendar years.			



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BUD1003	4.9.001	<b>Budgeting Documentation</b>	Includes documentation about budget transfers and revisions, as well as detail charts of accounts. Also includes work papers used to prepare budgets.	FE	10					<b>CAUTION:</b> Does not include Annual Operating Budgets; see BUD1000. Does not include copies of budgeting information maintained by departments; see ALL1851.	
BUD1004	1.1.068	<b>Reports on Performance Measures and Supporting Documentation</b>	Quarterly and annual reports on agency performance measures submitted to executive and legislative offices. Includes supporting documentation.	AC	6			AC=September 1 of odd-numbered calendar years.			
*BUD1005	4.7.008a	<b>Grant Records</b>	Documentation of state, federal, or other sponsored grant projects participated in or administered by UT System. May include grant authorization records, which provide evidence of the award of grants to or by agencies; awarded or non-awarded proposals; and grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by agencies.	AC	3			AC=Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).			



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					Years	Months	Days				
*OCP1000	1.1.067	<b>Capital Improvement Project (CIP) Reports</b>	Annual and quarterly reports of all major new construction and repair and rehabilitation projects to be implemented and funded from institution and System-wide revenue sources.	PM						NOTE: Major projects are defined in the Regents' Rules and Regulations as those with a total project cost of \$10,000,000 or more. Projects that are architecturally or historically significant are also identified as major projects regardless of cost.	
*OCP1322	5.2.002	<b>Building Construction Project Files</b>	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.	AC	11			AC=Completion of project.			
*OCP1323	4.7.000	<b>Fiscal Records for Construction Projects</b>		AC	11			AC=Close of project. The project close date is based on the fiscal year of the final payment to the contractor.			



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					Years	Months	Days				
*OCP1325	5.2.003a	<b>Building Plans and Specifications</b>	Includes architectural and engineering drawings, profiles, and blueprints of planning, design, construction, conversion, or modernization of state-owned facilities, structures, infrastructure, and systems.	LA					O		
*OCP1948	5.2.028	<b>Building Contracts</b>	Building construction contracts, surety bonds, and inspection records.	LA	10				O		
FAC1721	5.2.019	<b>Service Orders</b>	Requests or work orders for repairs or maintenance to facilities, vehicles, or equipment completed by internal agency personnel or external service providers.	AC	5			AC=Service request completed.			
FAC1722	5.4.012	<b>Security Access Records</b>	Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency or state facilities, equipment or automated systems.	AC	2			AC=Until superseded, returned, date of expiration, or date of termination, whichever sooner.			
FAC1800	5.1.005	<b>Postage Records</b>	Records and reports of postage expenses, including postal meter usage.	FE	3						
*FAC1801	5.2.012	<b>Quotes (Supply and Repair Cost Estimates)</b>	Quotes for minor construction and repair projects and supplies. Includes supporting documentation, as applicable.	AC	1			AC=Date received.			
CHA1269	3.1.000	<b>Financial Disclosure and Conflict of Interest Affidavits</b>	For the Chancellor and Presidents.	FE	3						



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*CHA2143	1.1.013	<b>Calendars - Chancellor</b>	Calendars, appointment books, or other scheduling or itinerary records maintained by or on behalf of the Chancellor.	AC	1			AC=End of term of service.	O		
CHA2144	3.1.019	<b>Executive Officer Performance - Workplans and Appraisals</b>	Job evaluations, performance appraisals, or other similar documents used to evaluate the performance of an employee.	FE	3						29 CFR 1620.32(c)
CON1000	4.1.001	<b>Accounts Payable Information</b>	Invoices; vouchers (encumbrance, purchase, expenditure, or special vouchers); statements; copies of checks and purchase orders; expenditure authorizations; ledgers; and similar records that serve to document disbursements. Includes ProCard statements and backup documentation.	FE	3						
CON1001	4.1.009	<b>Accounts Receivable Information</b>	Bill copies or stubs, statements, billing registers, account cards, deposit warrants, cash receipts, credit card receipts, receipts books, cash transfers, daily cash reports, reconciliations, special vouchers, and similar records that serve to document money owed to or received by a state agency and its collection or receipt.	FE	3						



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CON1002	4.8.001	<b>Banking Records</b>	Bank statements, credit card statements, cancelled checks, check registers, deposit slips, debit and credit notices, reconciliations, and other banking related records.	FE	3						
CON1003	4.5.010	<b>Unclaimed Property Reports and Documentation</b>	Sufficient records to verify information on unclaimed property 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. Includes both escheatment and documentation of unclaimed property claims made by System.	AC	10			AC=Date on which property is reportable or date the report is filed, whichever is later.			Texas Property Code, Sec. 74.103(b)
CON1004	4.7.003	<b>Uncollectible Accounts</b>	Records of accounts deemed uncollectible, including write-off authorizations and returned checks, warrants, and drafts.	AC	3			AC=Date account deemed uncollectible.			
CON1005	5.3.010	<b>Payee Information Forms</b>	Includes requests for Taxpayer Identification number (TIN) and Certification (W-9 Forms).	FE	3					FE=The fiscal year in which the account is opened or the instrument is purchased.	26 CFR 31.3406(h)-3(g)
CON1289	4.1.006	<b>Investment Transaction Files</b>	Records documenting the investment of any public funds that evidence the investment of such funds, the cancellation or withdrawal of investments, and similar activities.	FE	5						



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					Years	Months	Days				
CON9999	4.7.008	<b>IPSI Grant Records</b>	Grant authorization records, which provide evidence of the award of grants to or by agencies; grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by agencies.	AC	3			AC=Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).		Record series to be deleted after disposition of files in FileNet coded IPSI1930.	
*CNP1002	5.3.007c	<b>Bid Documentation - Invalid or Withdrawn</b>	Bids that do not meet agency submission requirements and are not included in the bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.)	AC	2			AC=Date of notification of denial or date of withdrawal, as applicable.		<b>CAUTION:</b> For bids that are included in the bid evaluation process, whether successful or unsuccessful, see CNP1003.	





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					Years	Months	Days				
*CNP1003	5.1	<b>Contracts and Agreements – General</b>	Records of contracts and agreements documenting legal obligations for general goods and services, land lease, and other business relationships except for building construction (see OCP1948) and certain employment contracts (see BOR1965). Includes the request and sourcing of goods and services from suppliers, such as requisitions, solicitation documentation (RFP/RFQ), vendor responses, awarded and unawarded bids, evaluation determination such as scoresheets, and notice of awards. Includes all documentation of negotiations, due diligence, terms and conditions, exhibits, non-disclosure agreements (NDA), amendments, change orders, acceptance, and final versions of contracts.	AC	7			AC=Expiration or termination of the instrument according to its terms.		NOTE: The records in this series are owned by the Executive Vice Chancellor for Business Affairs and maintained by the Office of Contracts and Procurement per Regents' Rule 10501. See item ALL2217 for contract monitoring records maintained by contract sponsors or Departmental Contract Administrators (DCA). Includes RSINs 5.1.001a-b and 5.3.007a-b.	Texas Government Code, Sec. 441.1855
CNP1004	5.3.009	<b>Requests for Information</b>	Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC	0			AC=Date of direct purchase, or decision not to proceed with the procurement, as applicable.		<b>CAUTION:</b> If the request for information leads to request for proposal or bid, see item CNP1001.	
CNP2000	5.1.017	<b>Contract Summaries and Reports</b>	Contract Summaries, Purchase Order Summaries, Past Request for Proposal Postings, and the Contract Transparency Report.	FE	3						



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					Years	Months	Days				
CON2000	5.2.006	Inventory and Property Control Records	Records documenting the inventorying, maintenance, usage, and disposal of supplies, equipment, and property of a state agency. Includes property logs and cards for lost and found property. May also include lost, stolen, or damaged property reports.	FE	3					NOTE: The Controller maintains the official record of inventory, but department inventory contacts are responsible for maintaining copies of inventory information provided by individual staff (e.g., emails or pictures) for their respective departments.	
CON2001	4.7.004	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.	LA	3						
CON3000	3.2.002	Payroll Records	Payroll records and registers documenting employee earnings, wages, and pay. This may include but is not limited to W-4 Forms, W-5 Forms, Income Adjustment Authorizations, Direct Deposit Applications and Authorizations, Employee Deduction Authorizations, payroll input records, summary statements, payroll vouchers, payroll detail sheets, and payroll history.	FE	4					NOTE: Some older payroll records may be retained by Human Resources in the employee file. Such payroll records are retained until superseded or separation or termination of employment + 5 years.	40 TAC 815.106(i)



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CON1274	4.5.002	<b>Worksheets for Preparing Fiscal Reports</b>		FE	9						
*CON1278	4.5.003	<b>Annual Financial Reports</b>	Annual Financial Report (AFR) required by the General Appropriations Act (100 Day Report).	PM						<b>ARCHIVES NOTE:</b> The final report must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(2)(a).	
CON1279	4.5.003	<b>Annual Financial Report - Working Files</b>	Working files and related documentation used to prepare the AFR.	FE	7						
CON4000	3.2.003	<b>Federal Tax Records</b>	Includes 1099, W2, FICA, excise tax, and other tax records.	AC	4			AC=Tax due date, date claim is filed, or date tax is paid, whichever is later.			26 CFR 31.6001-1(e)(2)
CON1273	3.2.003	<b>Unrelated Business Income Tax (UBIT) Records</b>	Form 990-T and related tax records. Also includes OK512E and related documentation.	AC	23			AC=Tax due date, date claim is filed, or date tax is paid, whichever is later.		See IRS Publication 598.	
*TRA1738	5.6.002	<b>Aircraft Passenger Lists</b>	List of passengers on an aircraft. Includes passenger manifest (snapshot of flight).	FE	3					Copies are sent to TxDOT Flight Services annually.	Texas Government Code, Sec. 2205.039
*TRA1739	5.6.001a	<b>Aircraft Flight Logs</b>	Logs and related documentation used to maintain information about state-owned aircraft flight data. Includes pilot manifest signed by passengers.	LA	3					Copies are sent to TxDOT Flight Services annually.	Texas Government Code, Sec. 2205.039
OEB1304	2.2.011	<b>Employee Benefits Data Entry Logs</b>		AC	0			AC=When reconciliation confirmed.			
OEB1309	4.5.002	<b>Financial Statements</b>		FE	5						



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OEB1314	3.1.011	Employee Insurance Records (Including Affordable Care Act and COBRA Records)	Includes all employee insurance records.	AC	6			AC=Termination of coverage.			
OEB1316	3.3.000	Insurance Contracts	Medical, Vision, Dental, Long-Term Care, Long and Short-Term Disability, Flexible Spending Account, Wellness	AC	15			AC=End of contract.			
OEB1492	3.3.004	Retirement Plan Documents		US	10					Audit requirements require 10-year retention period.	29 CFR 1627.3(b)(2)
OEB2077	3.3.004	Employee Benefits Plan Information		US	1						29 CFR 1627.3(b)(2)
OEB2078	4.1.001	Benefits Billing Payment Logs		FE	3						
OEB2079	4.1.009	Accounts Receivable Ledgers	Ledgers related to employee benefits.	FE	3						
OEB2080	4.5.002	Worksheets for Preparing Fiscal Reports	Worksheets related to employee benefit operations.	FE	5						
OEB2081	3.2.008	Direct Deposit Applications or Authorizations	Direct payment agreements for COBRA and retirees.	US							
OEB2148	1.1.065	Employee Benefits Members Issues		AC	2			AC=Resolution of issue.			
OEB2149	1.3.000	Employee Insurance and Retirement Employee Reference Materials		AC	0			AC=Until superseded or obsolete.			
OEB2153	3.1.000	Retirement Loan and Deferred Compensation Plan Information		AC	10			AC=After loan has been paid.			



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					Years	Months	Days				
OEB2154	3.1.000	<b>Employee Benefits Medicare Records</b>		AC	6			AC=Resolution of claim.			
OEB2155	4.8.001	<b>Employee Benefits ProCard and Expenditure Vouchers</b>		FE	7						
OEB2156	4.7.005	<b>Employee Benefits Special Claims</b>	May include incapacitated dependent applications, dependent amnesty, special dependent applications, and ZIP Code applications.	AC	5			AC=Resolution of claim.			
*OEB2157	4.7.005	<b>Employee Benefits Insurance - Electronic Medical Claims</b>	Electronic claims data kept on the mainframe.	AC	7			AC=Resolution of claim.			
OEB2158	5.1.001	<b>Life Insurance Contracts and Retirement Contracts</b>		AC	30			AC=Expiration or termination of the instrument according to its terms.		For Employee Benefits Insurance Contracts, see item CNP1003 (Contract Administration Files).	
OEB2160	1.1.002	<b>Audits</b>		AC	7			AC=Publication or release of final audit findings.			
OEB2161	2.2.010	<b>Employee Benefits Security Policies, Procedures and Program Documentation</b>		US	6						



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## Archival Codes (Field 10)

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					Years	Months	Days				
OEB3000	3.1.011	UTGRA Records	Personnel records of participants of the University of Texas Government Retirement Agreement (UTGRA) program.	AC	10			AC=End of payout.		In accordance with Article 1, Paragraph 1.9 (b) of the UTGRA Plan Document, OEB maintains UTGRA records on behalf of the Board of Regents (BOR). The BOR therefore is the owner of the records but delegates OEB to take any ministerial actions necessary on behalf of UT System for the administration of the UTGRA plan.	29 CFR 1627.3(b)(2)
GPS1574	13.2.005	Gift Records – Active	Includes active files for Endowments, Estates, Charitable Trusts, Held-in Trust by Others, Contingent or Revocable Gifts, and Current Purpose Gifts.	PM					I	Archival code added per 13 TAC Sec. 6.10(b), but records will remain at UT System in perpetuity.	
GPS1575	13.2.003	Estates or Assets Held in Trust by Others		AC	10			AC=Close of estate or trust.	I		
GPS1576	13.2.003	Endowments - Term		AC	7			AC=Endowment funds have been completely transferred.	I		
GPS1577	13.2.005	Endowments - Perpetual		PM					I	Archival code added per 13 TAC Sec. 6.10(b), but records will remain at UT System in perpetuity.	
GPS1578	13.2.003	Charitable Trusts/ Pooled Income Fund/ Remainder Interests in Life Estates		AC	7			AC=Close of estate or trust.	I		
GPS1583	13.2.000	Proposed, Contingent and Revocable Files		AC	3			AC=After determination of gift status.			



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GPS1753	4.1.003	<b>Federal Tax Records</b>	IRS Forms 5227, 1041, 1065, and similar tax records related to the Charitable Remainder Trust. Comprises copies of records received from The University of Texas/Texas A&M Investment Management Company (UTIMCO).	AC	4			AC=Tax due date, date claim is filed, or date tax is paid whichever is later.			
GPS1772	13.2.001	<b>Donor Records</b>	Includes individual donor and prospective donor files.	AC	7			AC=Prospect ceases to be viable.	I	NOTE: The name or other identifying information about a donor may be withheld from public disclosure under the Public Information Act (Government Code Sec. 552.1235).	
GPS1777	13.2.005	<b>Namings</b>	Records related to philanthropic namings. May include, but is not limited to, gift agreements, confidential donor correspondence, and UT System approval letters.	PM					I	Archival code added per 13 TAC Sec. 6.10(b), but records will remain at UT System in perpetuity.	
GPS2004	4.8.001	<b>Banking Records</b>	Bank statements, deposit slips, gift envelopes, and related records.	FE	3						
GPS2106	13.2.003	<b>Current Purpose Gifts</b>		AC	7			AC=Close of estate or trust.	I		



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*SPE1555	11.1.007	<b>Special Events</b>	Records pertaining to the administration of special events. May include records on planning and arrangements, reports, promotional and publicity materials, photographs, schedules of speakers and activities, registration and attendance lists, participant evaluations, and related documentation and correspondence.	AC	4			AC=Completion of the event.	O		
*FIN1002	4.8.001	<b>Banking Records - Finance</b>	Bank statements, financial statements, bank account transactions, and account analysis and collateral reports.	FE	5						
FIN2025	4.7.010	<b>Long-Term Liability Records</b>	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.	AC	3			AC=Retirement of debt; Bonds have been paid in full and presented to UT System Administration.		UTS 181, Sec. 9: Records Retention	





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OGC1864	1.1.000	<b>Legal Files – Long-Term Value</b>	Closed legal files with ongoing administrative, legal, or historical value, as determined by the attorney responsible for the file. May include litigation files or non-litigation files such as environmental permits, superfund actions, environmental studies, or FCC licenses.	AV					O	<b>CAUTION:</b> This record series is only to be used for closed files that have met retention under another record series. For example, a Health Law case classified under this record series must first be retained for AC+20 in accordance with OGC1862. <b>ARCHIVES NOTE:</b> Historically significant litigation case files or legal opinions must be transferred to the UT System archives at the UT Briscoe Center for American History when retention is met.	
OGC1000	1.1.000	<b>Legal Files – Business Law</b>	Legal files pertaining to contracts and transactional work.	AC	7			AC=Expiration of contract.		Files with long-term value beyond the retention period specified in this record series should be reclassified under OGC1864 when retention is met.	



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OGC1862	1.1.048	<b>Litigation Files – Health Law</b>	Records created by or on behalf of the agency or its institutions in anticipation of or in the adjudication of a lawsuit.	AC	20			AC=As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal).		NOTE: Retention period reflects extended administrative value of Health Law cases, which may pertain to medical malpractice insurance matters. Files with long-term value beyond the retention period specified in this record series should be reclassified under OGC1864 when retention is met.	
OGC1472	1.1.048	<b>Litigation Files – General</b>	Records created by or on behalf of the agency or its institutions in anticipation of or in the adjudication of a lawsuit.	AC	3			AC=As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal).		Files with long-term value beyond the retention period specified in this record series should be reclassified under OGC1864 when retention is met.	
OGC1473	17.3.011	<b>Patents Issued/Released</b>		AC	6			AC=Life of patent (17-20 years, depending on when patent is issued).			35 USC Sec. 154
*OGC2115	4.7.005	<b>Claims and Bankruptcy Files (Nonlitigation)</b>		AC	5			AC=Resolution of claim.		Inactive record series. To be removed from schedule after all existing boxes have been dispositioned.	



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*OGC2118	1.1.020	<b>Public Information Requests and Reporting</b>	Includes all correspondence and documentation relating to requests for records that are furnished to the public or excepted under the Public Information Act (Chapter 552, Texas Government Code). Also includes records provided to the legislature under section 552.008 and reports made to the Office of Attorney General (OAG) on an agency's Public Information Act activities.	AC	2			AC=After request has been satisfied or withdrawn, date of notification that records are excepted, or date of report submission, as applicable.			Texas Government Code, Sec. 552.010
OGC2141	1.1.000	<b>Professional Liability Enrollment, Changes, and Resignation</b>		AC	20			AC=Date of enrollment.			
*OGR1332	1.1.027	<b>Governmental Relations</b>	Records documenting the relations of the agency with the legislature, elected officials, and other governmental bodies at the state, local, and federal levels. Includes documentation relating to tracking and providing input into legislation of interest to UT System, responding to legislative inquiries, preparing bill analyses and summaries, reviewing proposed legislation and related fiscal notes, and writing and preparing legislative testimony.		6						



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HEA1344	1.1.000	<b>Meeting Agenda and Minutes - Council of Health Institutions</b>		AC	10			AC=When agenda and minutes and finalized.		NOTE: Council disbanded 7/22/15; was not a governmental body as defined by Texas Government Code, Chapter 551.	
HEA2116	3.1.014	<b>Presidential Search Committee Records - Health Institutions</b>	Applications, job descriptions, communications, CVs, contacts, search committee contacts, search guidelines, search committee rankings, and interview notes.	AC	2			AC=When applicant accepts or declines the position.		<b>CAUTION:</b> Does not include criminal history checks; see POL1766.	29 CFR 1602.49(a)
HEA2161	3.1.000	<b>Personnel Files - Health Institution Presidents</b>	Employment communications, assessments, compensation, and corrective or disciplinary actions.	AC	5			AC=Termination of employment.			
HUB1261	1.1.066	<b>Reports - Biennial or Annual Agency (Narrative)</b>	Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute. Includes working files and related documentation used in creating final report.	AC	15			AC=September 1 of odd-numbered calendar years.	I	<b>ARCHIVES NOTE:</b> The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives commission.	



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*ISO1000	2.2.001	<b>System Monitoring Records</b>	Records used to control and monitor a system, its data, and its security. May include vulnerability scans, intrusion tests, malicious code detection tests, threat and risk assessments, technical security reviews, patch management logs, intrusion detection logs, firewall logs, and related records. May also include records reporting on the levels and patterns of usage of system hardware, software application, or internet resources.	AV	0					The disposal of monitoring records that are automatically overwritten does not need to be documented.	
ISO1001	2.2.018	<b>Biennial Information Security Plan</b>	Biennial information security plan for protecting the security of the agency's information.	US	2						1 TAC 202.23; 1 TAC 202.73
*ISO2218	2.2.000	<b>Security Incident Reporting</b>	Reports and related information concerning security incidents affecting U. T. System or its institutions.		5					UTS 165 Standard 12	1 TAC 202.73(d)
POL1761	3.3.027	<b>Aptitude and Skills Tests</b>	Aptitude, competency, or skills tests and checklists required of job applicants or of current personnel to qualify for promotion or transfer, including validation records.	US	3						29 CFR 1602.49
POL1528	3.3.028	<b>Aptitude and Skills Tests (Test Papers)</b>	Completed aptitude, competency, or skills test papers and checklists of job applicants or of current personnel taking a test to qualify for promotion or transfer.	CE	3						29 CFR 1602.49



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POL1766	3.1.026	<b>Criminal History Checks</b>	Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC	0			AC=The criminal history record has served the immediate purpose for which it was obtained.			Texas Government Code, Chapter 411, Subchapter F
POL1537	3.1.000	<b>Personnel Files - Commissioned Officers</b>		AC	5			AC=Separation or termination of employment.			
POL1771	3.1.000	<b>Personnel Files - Office of Director of Police</b>		AC	5			AC=Separation or termination of employment.		Forward to Personnel Office for Officers, Admin, and Guards at termination.	
POL1531	5.4.011	<b>Visitor Control Registers</b>	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.	FE	3						
POL1538	5.4.012	<b>Security Access Records</b>	Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency or state facilities, equipment or automated systems.	AC	2			AC=Until superseded, date of expiration, or date of termination, whichever sooner.		Electronic records are the official copy. Paper records provide vital records protection.	
POL1543	16.3.000	<b>Police Investigations/Reports</b>		AC	0			AC=Statute of limitations.		Maintained for legal reasons or until investigation matters are resolved.	
POL1768	16.3.039	<b>Parking Citations</b>	Includes related correspondence.	AC	3			AC=End of fiscal year of resolution.			



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*POL2000	5.1.018	<b>Surveillance Video</b>	Surveillance videos of buildings, facilities, vehicles, or other state property.	AV	0					See RWC1707 if video is needed for an accident investigation; see OGC1472 if the video is needed as evidence in litigation. The disposal of surveillance videos does not need to be documented.	
POL1529	5.6.005	<b>Vehicle Use Reports</b>	Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	FE	3						
POL1952	1.1.067	<b>Reports and Studies (Non-Fiscal)</b>	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.	PM					O		
POL2003	1.1.067	<b>Reports - Annual Inspections of Component Institutions</b>		CE	10				O		
REA1212	1.1.000	<b>Real Estate Closing Papers</b>		PM							



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REA2113	1.1.000	<b>Component Properties and Trust Fund Properties - Working Papers</b>		AC	7			AC=Termination or expiration of lease or contract.			Texas Government Code, Sec. 441.1855
RIM2044	1.2.012	<b>Records Inventories</b>	Worksheets or working papers used to capture records inventory information, including location tracking and to document existence and requirements of a records series.	AC	0			AC=Date superseded or discontinued.		Inventories may be held either at the departmental level (by Records Management Coordinators) or agency level (by the Records Management Officer).	
*RIM2123	1.2	<b>RIM Program Compliance Records</b>	Files demonstrating departmental and program compliance with state rules and agency policies for records and information management (RIM). May include, but is not limited to: records disposition requests and approvals, records inventories or file plans, RIM compliance checklists, and the records retention schedule including working files.		10					Includes RSIN 1.2.001, 1.2.005, 1.2.010	
ORM1001	3.2.007	<b>Unemployment Compensation Records</b>	Records and documentation relating to unemployment compensation claims, including reimbursement of funds disbursed by Texas Workforce Commission (TWC).	AC	5			AC=After closed, terminated, completed, expired, or settled.			
ORM1002	4.1.000	<b>Accounting Records</b>	Includes monthly premium transfers, vouchers, billing detail, and similar accounting records.	FE	3						
ORM1003	4.5.002	<b>Annual Financial Statements</b>		FE	30					Annual statements must be kept to compile statistical information.	





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RC1000	3.1.000	<b>Driver Training Records and Checks</b>	Motor Vehicle Record (MVR) checks and driver training administration records.	AC	5			AC=Date of inactivity in RMIS system.		UTS 157, Sec. 4: Requirements for Authorized Drivers	
RC1001	5.4.000	<b>Emergency Management Peer Reviews</b>	Assessments of emergency preparedness and planning efforts at UT institutions created to document compliance with Texas Education Code, Section 51.217, Multihazard Emergency Operations Plan: Safety and Security Audit. Also includes checklists and other working files.	AC	7			AC=Report submitted.			Texas Education Code, Sec. 51.217
RC1002	5.4.013	<b>Emergency Response Plans</b>	Plans developed to mitigate the damage of potential events that could endanger an agency's ability to function. Includes disaster preparedness, response, and recovery plans.	US	0						Texas Labor Code, Sec. 412.054
RC1641	5.4.002	<b>Evacuation Plans</b>	Plans for evacuation of agency facilities in cases of emergency.	US	0						
*RC1639	5.4.003	<b>Inspection Records</b>	Fire, safety, and other inspection records of agency facilities and equipment, including orders issued by inspectors to correct deficiencies in compliance with any code or regulations.	AC	3			AC=Date of inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency.		<b>CAUTION:</b> Does not include inspection reports of building construction; see OCP1948.	



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RC1732	1.1.069	<b>Project Safety Reports</b>	Monthly reports from all active construction sites on any incidents that happen on site. Also includes STEP Awards, confirmation emails, certificates, and memos, given to site managers and teams for maintaining low incident numbers.	FE	7						
RC1003	1.1.000	<b>Resource Allocation Program (RAP) Records</b>	Budget reports, summaries, memoranda, and emails supporting the administration of the RAP Program.	FE	10						
RC1640	5.4.000	<b>System Hazard Reports</b>		AC	3			AC=Release of report.			
RC1699	4.7.005	<b>Systemwide Insurance Claim Files</b>	Records documenting requests for payment of a sum of money according to the terms of a policy or contract.	AC	4			AC=Resolution of claim.			
RF1697	5.1.013	<b>Systemwide Insurance Policies</b>	Property and Casualty policies including supporting documentation relevant to the implementation, modification, renewal, or replacement of policies.	AC	20			AC=Expiration or termination of the policy according to its terms and/or claims resolution associated with said policy.		Needed to confirm past policies' coverage as insurance companies are not required to maintain this information.	Texas Government Code, Sec. 441.1855
RF1698	5.1.013	<b>Systemwide Insurance Policies – WC</b>	Workers’ Compensation policies including supporting documentation relevant to the implementation, modification, renewal, or replacement of policies.	AC	50			AC=Expiration or termination of the policy according to its terms and/or claims resolution associated with said policy.		Needed to confirm past policies' coverage as insurance companies are not required to maintain this information.	Texas Government Code, Sec. 441.1855



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## Retention Codes (field 7)

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A/I – Transfer to State/University Archivist  
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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
RWC1707	5.4.001	<b>Accident Reports and Associated Documentation</b>	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.	CE	10					Used in preparing analyses of program experience.	29 CFR 1904.33; 28 TAC 120.1(c)
RWC1708	4.7.005	<b>Claim Files – Workers' Compensation</b>	Claim files used to administer benefits.	AC	50			AC=Resolution of claim.			
SWC1649	5.4.000	<b>Risk Assessment and Monitoring Plans</b>		US	5						
*SWC1980	15.5.010	<b>Complaint Investigation Records – Title IX</b>	Any investigation where the allegation type includes sex discrimination, sexual harassment, sexual assault, dating violence, domestic violence, stalking, or any other matter that is sexual or sex-based in nature.	AC	7			AC=Final resolution of issue and appeals.		<b>CAUTION:</b> If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of OGC1472.	34 CFR 106.45(b)(10)
*SWC2000	1.1.006	<b>Complaint Investigation Records - General</b>	Complaints received by the agency and records pertaining to the resolution of the complaints.	AC	2			AC=Date of receipt, action taken, or final resolution of the complaint, whichever comes latest.		<b>CAUTION:</b> See SWC1980 if the allegation type includes sexual or sex-based misconduct. If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of OGC1472.	
SWC2001	3.1.041	<b>Outside Activity Portal Records</b>	Requests and authorizations for secondary employment or outside activities, including volunteer service.	AC	2			AC=Date superseded, obsolete, or date of separation, as applicable.			



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HR1000	3.1.000	<b>Recruitment File</b>	Files maintained on each job posting. Each file typically includes the job posting and approval sheet. As applicable, may also include applications of those who were not selected, notes on the interview process, and related information.	FE	2						
*HR1001	3.1	<b>Individual Personnel Files</b>	Master personnel record of an individual employee. May include employment applications and all related documents, ADA documents, benefit and enrollment forms, biographical information, complaints/grievances, criminal background check authorizations, Employment Eligibility Verification (Form I-9), employment verifications, performance management documents, employee data change forms, separation documents, and signed acknowledgement forms.	AC	5			AC=Until superseded or separation or termination of employment.		Includes RSIN 3.1.002, 3.1.011, 3.1.018, 3.1.019, 3.1.020, 3.1.021, 3.1.022, 3.1.029, 3.1.041. Convenience copies of personnel information held by a department should be retained in accordance with ALL2216.	29 CFR 1620.32(c)
HR1003	3.3.001a	<b>Affirmative Action Plans</b>		FE	5						29 CFR 30.8(e) for apprenticeship records



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*HR1004	3.4	<b>Time and Leave Records</b>	Timesheets or similar 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. Also includes employee requests and supervisor authorizations or denials for vacation, compensatory, sick, Family and Medical Leave Act (FMLA), and other types of authorized leave. May include supporting documentation, related reports, and correspondence.		4					Includes RSIN 3.4.006, 3.4.007. Emails, texts, or chats requesting and authorizing time off are considered transitory once the absence is approved in PeopleSoft.	HOP 3.3.1 and 3.4.4; Texas Government Code, Section 661.908; 40 TAC 815.106; 29 CFR 825.500(b) for FMLA
HR1005	3.3.011	<b>Former Employee Verification Records</b>	Minimum information needed to verify employment. Must include the employee's name, social security number, exact dates of employment, and last known address.	AC	75			AC=Separation or termination of employment.			
HR1006	3.4.008	<b>Sick Leave Pool Documentation</b>	Records documenting number of hours transferred in and out of comprehensive sick leave pool.	FE	3						
HR1007	3.1.038	<b>Public Access Option Form</b>	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 Texas Public Information Act.	AC	75			AC=Until superseded or separation or termination of employment.			Texas Government Code, Sec. 552.024



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HR1008	3.2.008	<b>Direct Deposit Applications/Authorizations</b>		AC	5			AC=Separation or termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.		Ownership of payroll records was transferred to the Office of the Controller; see CON3000.	
HR1009	3.1.011	<b>Employee Insurance Records – Active and Separated Employees</b>	Includes Beneficiary Designation Group Insurance form, Certification of Group Health Plan Coverage, dependent information, insurance activity, Insurance Enrollment Change form (SSN documents and Medicare; Tobacco Declaration), ERS/TRS documents, and Optional Retirement Plan (ORP) documents such as Vesting/Termination Status forms.	AC	75			AC=Until superseded or separation or termination of employment.			
HR1010	3.1.011	<b>Employee Insurance Records - Retired and Deceased Employees</b>	Includes Beneficiary Designation Group Insurance form, Certification of Group Health Plan Coverage, dependent information, insurance activity, Insurance Enrollment Change form (SSN documents and Medicare; Tobacco Declaration), ERS/TRS documents, and Optional Retirement Plan (ORP) documents such as Vesting/Termination Status forms.	AC	75			AC=Until retirement or death of employee.			



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HR1011	3.3.000	<b>Personnel Administration and Compensation Reports</b>	Any reports compiled in the administration of the System workforce. Includes, but is not limited to, EEO reports/supporting documentation and job classification review files.	FE	3					NOTE: Office of Risk Management is the record owner of Texas Workforce Commission (TWC) reports.	
INN1000	4.1.006	<b>Investment Records</b>	Signed Horizon Fund agreements and related documentation.	AC	20			AC=Expiration or termination of agreement.			
OTIS1000	2.2.017	<b>Help Desk Tickets</b>	Records documenting requests for technical assistance and related correspondence.	AV	0						
*OTIS1507	1.1.000	<b>IT Project Management</b>	Records related to monitoring and managing the activities and progress of projects and internal initiatives, including business case, scope, project plans, budgets, schedules, close-out and lessons learned, and related correspondence. Includes projects related to the development of systems and software from initial stages through hand-off to production, including planning, requirements analysis, design, verification and testing, quality assurance and installation. Also includes training and guidance to manage change related to rolling out new internal initiatives or tools.	AC	6			AC=Completion of project.			



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OTIS1509	5.5.002	<b>Telephone Activity Reports</b>	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.	AV	0						
OTIS1525	5.4.012	<b>Security Access Records</b>	Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency or state facilities, equipment, or automated systems. Includes network request forms.	AC	2			AC=Until superseded, date of expiration, or date of termination, whichever sooner.			
*OTIS1526	2.2.001	<b>System Monitoring Records</b>	Records used to control and monitor a system, its data, and its security. May include vulnerability scans, intrusion tests, malicious code detection tests, threat and risk assessments, technical security reviews, patch management logs, intrusion detection logs, firewall logs, and related records. May also include records reporting on the levels and patterns of usage of system hardware, software application, or internet resources.	AV						The disposal of monitoring records that are automatically overwritten does not need to be documented.	





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OTIS2141	5.2.008	<b>Equipment History</b>	Equipment history file, which may include logbooks and requests for installation, moves, service, repair, etc.	LA	7						
*OTIS2220	2.1	<b>Information Systems Administration</b>	Hardware/software records related to the detailed, as-built design or major modifications (e.g., patches, upgrades, etc.) of technology systems and software applications. Including but not limited to technical documentation, architecture, source code, data models, data standards, registries, data definitions and dictionaries, and software documentation (e.g., user guides).	AC				AC=Completion or termination of program or system and records are transferred to and made usable in a new software environment.		<b>CAUTION:</b> This item DOES NOT apply to content or data within a system or application; these should be filed according to their record value, regardless of media. Includes RSIN 2.1.007, 2.1.008, 2.1.009	13 TAC 6.94
MED1000	17.1.000	<b>JAMP Council Agreements with Participating Schools</b>	Agreements with participating medical schools, general academic teaching institutions, or private/independent institution of higher education as required by Sections 51.829-.831, Texas Education Code.	AC	7			AC=Expiration or termination of the agreement.		Agreements must be renewed every four years.	Texas Education Code, Secs. 51.829-.831
MED1001	1.1.058	<b>JAMP Council Meetings – Agenda, Minutes, and Supporting Documentation</b>		PM					I	<b>ARCHIVES NOTE:</b> JAMP retains permanent record. The archival requirement will be met by sending a copy to the UT System archives, UT Austin.	
MED1002	1.1.026	<b>JAMP Council Meetings – Open Meeting Notices</b>		AC	1			AC=Date of publication in the Texas Register.			



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					Years	Months	Days				
MED1003	1.1.060	JAMP Council Meetings – Recordings	Audiovisual recordings of open meetings.	AC	0	3		AC=Approval of written minutes of the meeting by the JAMP Council.		CAUTION: If no minutes are prepared, the recordings must be retained permanently in accordance with MED1001.	
*MED1004	1.1.066	JAMP Council Reports	Biennial narrative reports to the governor and legislature as required by Texas Education Code, Sec. 51.834. Includes working files and related documentation used in creating final report.	AC	6			AC=September 1 of odd-numbered calendar years.		ARCHIVES NOTE: Four copies of the published report must be sent to the Texas State Publications Depository Program, Texas State Library and Archives Commission, per 13 TAC 3.3. Working files and related documentation used in creating the final report may be destroyed at the expiration of the retention period.	
MED1005	1.3.001	Media	Podcasts, videos, and similar audiovisual recordings produced for public distribution.	AC	2			AC=Until discontinued and no longer administratively valuable.	O	CAUTION: Media files must be saved in a location that is under UT System control, per 13 TAC 6.94.	
MED1006	1.3.002	Media Production Files	Images, sound clips, or other design elements used in the production of media recordings.	AV	0				O		
*MED1007	1.1.061	JAMP Council Meetings - Notes	Notes taken during the meetings from which written minutes are prepared.	AC			90	AC=Approval of the written minutes of the meeting by the JAMP Council.			



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MED1460	15.1.000	<b>JAMP Student Applications and Student Agreements</b>	Applications to the JAMP program including all supporting documentation, agreements with the JAMP Council required by Section 51.828, Education Code, and any other records pertaining to an individual applicant.	AC	10			AC=End of application cycle.			Texas Education Code, Sec. 51.828
MED1463	15.1.000	<b>TMDSAS Student Applications</b>	Applications submitted to the Texas Medical & Dental Schools Application Service and all supporting documentation.	AC	10			AC=End of application cycle.			
ULA1001	5.1.010	<b>Commingleing Permits</b>		AC	4			AC=Expiration date of permit.			
ULA1002	1.1.000	<b>Document Control</b>		US	0						
ULA1003	4.1.000	<b>Gas Charge and Penalty Charge Vouchers</b>	Includes working papers.	FE	10						
ULA1004	4.1.000	<b>Gas Purchase Statements</b>		FE	3						
ULA1005	4.1.000	<b>Gas Royalty Ledgers and Penalty Ledgers</b>		FE	10						
ULA1006	4.1.000	<b>Income and Income Penalty Vouchers</b>	Includes working papers.	FE	10						
ULA1007	4.1.000	<b>Oil Charge and Oil Penalty Charge Vouchers</b>		FE	10						
ULA1008	4.1.000	<b>Oil Royalty Ledgers and Oil Penalty Ledgers</b>		FE	10						
ULA1009	4.5.000	<b>Price Bulletins</b>		FE	10						
ULA1010	4.1.000	<b>Remittance by Document (UT-3)</b>		FE	10						



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ULA1011	4.5.000	<b>Summaries-Penalty and Interest on Late Payments</b>		FE	10						
ULA1012	5.1.001	<b>Take In Kind (TIK) Oil and Gas Contracts</b>		AC	7			AC= Expiration or termination of the instrument according to its terms.			Texas Government Code, Sec. 441.1855
ULA1013	1.1.000	<b>Unplugged Well Report</b>		US	0						
ULA1014	1.1.069	<b>Weekly Letter</b>	Report provided to university departments detailing oil and gas resources and compliance.	PM							
ULA1015	1.1.000	<b>Well Record History</b>	Master history record; includes information found in ULA1016 and ULA1017.	PM							
ULA1016	1.1.000	<b>Well Records (Plat Books)</b>		AV	0						
ULA1017	1.1.000	<b>Well Tickets</b>	Historical information used for exploration and development of oil and gas resources.	AV	0						
ULB1001	4.1.009	<b>Accounts Receivable Ledgers</b>	Related to West Texas oil and gas operations.	FE	3						
ULB1002	4.8.001	<b>Bank Statements</b>		FE	3						
ULB1003	4.9.001	<b>Budgets and Budgeting Records</b>	Includes encumbrances and documentation about budget transfers and revisions, as well as detail charts of accounts.	FE	3						
ULB1004	4.1.000	<b>Damage Account Detail by Lease</b>		AC	10			AC=Date created.			



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ULB1005	4.5.000	FAWP (Funds for Agriculture and Wildlife Projects) Applications		FE	3						
ULB1006	4.5.000	FAWP (Funds for Agriculture and Wildlife Projects) Applications - Summary		AC	20			AC=Date created.			
ULB1007	4.5.000	Grazing Lease - Animal Unit Reports		AC	30			AC=Date created.			
ULB1008	4.1.009	Grazing Lessees' Livestock Change Forms	Forms received from lessees that document changes in the number of livestock on university lands. Used to calculate billing.	FE	3						
ULB1009	4.1.000	Grazing Lessees' Payment Calculations		AC	10			AC=Date created.			
ULB1010	5.1.012	Livestock Market Prices	Information used to calculate the per-animal-unit amount.	AC	10			AC=Date created.			
*ULB1011	4.1.001	Purchasing Journal Vouchers		FE	3						
ULB1012	4.1.000	Refund Vouchers--ULAO Copy		FE	10						
ULB1013	4.1.000	Surface Ledgers (Brine, Saltwater, Disposal, Grazing, Surface, and Water)		FE	10						
ULB1014	4.5.002	Variance Report		FE	10						



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ULB1015	5.6.005	Vehicle Use Reports	Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	FE	3						
ULE1001	1.1.000	Technical Well Files		PM							
ULG1001	1.1.000	Electric Logs		PM							
ULG1002	1.1.000	Geophysical Contour Maps	Source for evaluating acreage for oil and gas leases.	AV	0						
ULT1001	5.1.000	Lease Maps	Used for exploration and compliance.	US	0					Maps are paper and Mylar film.	Texas Education Code, Sec. 66.77
ULT1002	5.1.000	Maps of University Lands	Project files used to create hard copy maps.	US	0					Necessary for historical value.	Texas Education Code, Sec. 66.77
ULT1003	2.1.007	Software Programs		AC	0			AC=Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read.			
ULL1001	5.1.001	Gas and Oil Contracts	Contracts governing operator’s sale of oil or gas.	PM							Texas Government Code, Sec. 441.1855
ULL1002	5.1.001	Lease Agreements, Unit Agreements, and Assignments		PM							Texas Government Code, Sec. 441.1855
ULL1003	5.1.001	Lease Assignment Briefs		PM							



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E – Exempt from archival review and transfer

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1. Agency Code: <b>720</b>			2. Agency Name: <b>University of Texas System Administration</b>								
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
ULL1004	5.1.000	<b>Lease Sale Information</b>		AV	0						
ULL1005	5.1.000	<b>Lease Sale Nominations Information</b>	Confidential information used to compile listing of tracts to be offered for oil and gas leasing.	AC	5			AC=Date created.			
ULL1006	5.1.000	<b>Lease Sale Results</b>	Historical reference data of oil and gas leasing.	PM							
ULL1007	1.1.000	<b>Pugh Clause Data - Development Compliance</b>	Information used for exploration and development of oil and gas resources.	AV	0						
ULR1001	5.1.000	<b>Abandoned Line Records</b>		AC	0			AC=Line has been removed.		Environmental Compliance.	
ULR1002	5.1.000	<b>Brine Lease Data</b>		PM							
ULR1003	4.7.000	<b>Easements on U. T. Lands</b>		PM							
ULR1004	5.2.000	<b>Rate and Damage Schedules</b>	Information used to help determine new fee structures on U.T. Lands. Based on information in expired leases.	AC	50			AC=Date created.			
ULR1005	5.1.001	<b>Saltwater Disposal Agreements</b>		AC	7			AC=Expiration or termination of the instrument according to its terms.			Texas Government Code, Sec. 441.1855
ULR1006	1.1.000	<b>Water and Hard Minerals Prospect Permits and Supporting Data</b>		PM							
ULR1007	5.2.000	<b>Water Books/Management Records</b>		PM						Maintained permanently for environmental and historical purposes.	



# STATE OF TEXAS Records Retention Schedule

SLR 105  
Rev. 2021-07

## Retention Codes (field 7)

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

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

## Archival Codes (Field 10)

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

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1. Agency Code: <b>720</b>		2. Agency Name: <b>University of Texas System Administration</b>									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
ULS1001	1.1.000	<b>Geophysical Survey Permits and Supporting Documents</b>	Information used for exploration and development of oil and gas leases.	AV	0						
ULS1002	5.1.000	<b>Grazing Easements on U. T. Lands</b>		PM						Maintained for historical purposes.	
ULS1003	5.1.001	<b>Surface Leases</b>		PM							Texas Government Code, Sec. 441.1855
ULS1004	1.1.000	<b>Wildlife Harvest Recommendations</b>		AC	30			AC=Date created.		Midland record is sole record.	





# The University of Texas System

## Departmental Acronyms Used in this Schedule

Acronym	Department Name	Acronym	Department Name
ACA	Office of Academic Affairs	OGR	Office of Governmental Relations
ALL	All Departments	OIRA	Office of Institutional Research and Analysis
AUD	System Audit Office	ORM	Office of Risk Management
BOR	Board of Regents	OTI	Office of Talent and Innovation
BUD	Office of Budget and Planning	OTIS	Office of Technology and Information Services
CHA	Office of the Chancellor	POL	Office of Director of Police (also "ODOP")
CNP	Contracts and Procurement	RC	ORM/Risk Control
CON	Office of the Controller	REA	Real Estate Office
EXT	External Relations, Communications, & Advancement	RF	ORM/Risk Finance
FAC	Facilities Management	RIM	Records and Information Management
FIN	Office of Finance	RWC	ORM/Workers' Compensation Insurance
GPS	Gift Admin., Compliance, & Advancement Services	SIS	Shared Information Services
HEA	Office of Health Affairs	SWC	Office of Systemwide Compliance
HR	Human Resources (also "OTI")	SPE	External Relations/Events Office
HUB	Historically Underutilized Business Programs	TRA	CON/Travel Services and Aircraft Operations
INN	Innovation and Strategic Investment	ULA	University Lands/Accounting (also "ULAO")
ISO	Information Security Office	ULB	University Lands/Budget and Revenue
JAMP	Joint Admission Medical Program	ULE	University Lands/Engineering
MED	Texas Medical and Dental Schools Application Service	ULG	University Lands/Geology
OCP	Office of Capital Projects (also "OFPC")	ULL	University Lands/Land
OEB	Office of Employee Benefits	ULR	University Lands/Right of Way
OFPC	Office of Capital Projects (also "OCP")	ULS	University Lands/Surface
OGC	Office of General Counsel	ULT	University Lands/Information Technology



# The University of Texas System

## References & Resources

<b>State of Texas Retention Schedules</b>	<a href="#">State of Texas Records Retention Schedule (State RRS)</a> <a href="#">State of Texas University Records Retention Schedule (State URRS)</a>
<b>Relevant Federal and State Statutes</b>	<a href="#">Texas Government Code Chapter 441</a> <a href="#">Texas Administrative Code, Title 13, Chapter 6</a>
<b>System Policies &amp; Procedures</b>	<a href="#">UTS 115 Records and Information Management Handbook of Operating Procedures 4.1.6 Records &amp; Information Management</a> <a href="#">Records &amp; Information Management on SharePoint</a>
<b>Records Management Tools</b>	<a href="#">Records Management Forms &amp; Templates</a> <a href="#">Request to Dispose of Records</a>
<b>Records Management Assistance</b>	<a href="#">Contact the UTS Records Management Officer</a>

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**This document is available for download from**  
<https://www.utsystem.edu/offices/systemwide-compliance/records-management>

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