## 1.1 Administrative Records - General

<table>
<thead>
<tr>
<th>Records Series Item #</th>
<th>Agency Item #</th>
<th>Department</th>
<th>Record Series Title and Description</th>
<th>Retention Period</th>
<th>Security Archival Code</th>
<th>Vital Record</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1</td>
<td>713</td>
<td>UTM</td>
<td>Credentialing Documents for UT Medicine Practitioners. Documents used in the UT Medicine Credentialing process that comply with National Commission on Quality Assurance (NCQA) guidelines and requirements of contracted health plans and state and federal agencies. Includes, but is not limited to credentialing applications and audit results.</td>
<td>AC</td>
<td>O</td>
<td>False</td>
<td>AC = Per requirements from the Centers for Medicare &amp; Medicaid Services (CMS): The longer of (i) ten (10) years from the termination of the contracted entity’s agreement with the university regardless of the reason for termination; (ii) the completion of any audit; or (iii) such other time frame as provided or required by Laws, HHS, or the Comptroller General. Some information may be exempt from public disclosure.</td>
</tr>
<tr>
<td>Record Series Item</td>
<td>Agency Item No and Dept.</td>
<td>Records Series Title</td>
<td>Description</td>
<td>Retention Period</td>
<td>Security</td>
<td>Archival</td>
<td>Vital</td>
</tr>
<tr>
<td>-------------------</td>
<td>-------------------------</td>
<td>----------------------</td>
<td>--------------</td>
<td>------------------</td>
<td>----------</td>
<td>----------</td>
<td>-------</td>
</tr>
<tr>
<td>1.1</td>
<td>206 LE, DN, DE</td>
<td>Administrative Records - General</td>
<td>Affiliation Agreements.</td>
<td>AC+4</td>
<td>O</td>
<td>True</td>
<td>AC = Termination of agreement. CAUTION: Departments should check with their accrediting agency to determine retention requirements for accreditation.</td>
</tr>
<tr>
<td>3.4</td>
<td>105 DE</td>
<td>Personnel Records - Time and Leave</td>
<td>Time Off and/or Sick Leave Requests.</td>
<td>FE+3</td>
<td>O</td>
<td>False</td>
<td>Includes requests for outside education during working hours. SEE ALSO 3.4 - Agency Item Number 477 for FMLA (Family Medical Leave Act) records. Resident/Fellow leave documents fall under Agency Item Number 527 (American Graduates) or Agency Item Number 699 (International Medical Graduates).</td>
</tr>
</tbody>
</table>

Revision Note: 2015: Added CAUTION statement.

Revision Note: 2013: added "but is not limited to" to description. 2015: Added remark about Resident/Fellow leave documents.
### 4.5 Fiscal Records - Reports

<table>
<thead>
<tr>
<th>Record Series Item</th>
<th>Agency Item No and Dept.</th>
<th>Description</th>
<th>Retention Period</th>
<th>Security</th>
<th>Archival Vital</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.5.002</td>
<td>32 AC, DE</td>
<td><strong>Internal Fiscal Management Reports.</strong></td>
<td>FE+3</td>
<td>O</td>
<td>False</td>
<td>Accounting is responsible for the record copy of monthly ledgers sent to each department. Departments may produce their own internal fiscal management reports and are responsible for keeping the record copy of those. <a href="#">SEE 4.7.008 - Agency Item Number 388 for fiscal records for federal grants.</a></td>
</tr>
</tbody>
</table>

**Revision Note:** 2015: Added SEE reference for fiscal records for federal grants.

### 4.7 Fiscal Records - Other Fiscal

<table>
<thead>
<tr>
<th>Record Series Item</th>
<th>Agency Item No and Dept.</th>
<th>Description</th>
<th>Retention Period</th>
<th>Security</th>
<th>Archival Vital</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.7</td>
<td>344 CDO, DE</td>
<td><strong>Gift Records - Agreements, Wills, and Related Documents.</strong></td>
<td>PM</td>
<td>O</td>
<td>I</td>
<td>Security is open with restrictions. <a href="#">SEE ALSO record 4.7 # 711 - Gift Records - All Other Records and record 9.1 # 652 - Scholarship Reports.</a></td>
</tr>
</tbody>
</table>

**Revision Note:** 2007: Revised. 2013: Revised to include only agreements, wills, and related documents and separate rest to Gift Records - All Other Records. Changed RS Item No. to 4.7 to place with other financial records. 2015: Corrected RS Item No. 4.7 in SEE ALSO.
<table>
<thead>
<tr>
<th>Record</th>
<th>Agency</th>
<th>Item No</th>
<th>and Dept.</th>
<th>Description</th>
<th>Retention Period</th>
<th>Security</th>
<th>Archival</th>
<th>Vital</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.7</td>
<td>CDO, DE</td>
<td>711</td>
<td></td>
<td><strong>Gift Records – All Other Records.</strong> This series documents potential or realized private, corporate, or public agency funding to the institution, including endowments and trusts. This series may include but is not limited to award guidelines; financial statements and reports, including records of fund disbursements; and related documentation and correspondence.</td>
<td>7 O O True</td>
<td>Security is open with restrictions. SEE ALSO 4.7 # 344 Gift Records - Agreements, Wills, and Related Documents and # 652 - Scholarship Reports for records kept permanently.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Revision Note:** 2013: Added to reduce retention for some gift records. 2015: Corrected RS Item No. 4.7 in SEE ALSO.

### 9.1 Student Records

<table>
<thead>
<tr>
<th>Record</th>
<th>Agency</th>
<th>Item No</th>
<th>and Dept.</th>
<th>Description</th>
<th>Retention Period</th>
<th>Security</th>
<th>Archival</th>
<th>Vital</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>9.1</td>
<td>DE</td>
<td>410</td>
<td></td>
<td><strong>Student Rotations Documents.</strong> Includes schedules, information packets, tests, evaluations, applications (for foreign and visiting US students).</td>
<td>AC+5 C False</td>
<td>AC = graduation from UTHSCSA or for non-UTHSCSA students, end of rotation. These records may be filed as part of the student individual personnel file. (SEE # 544 under Student Records.) NOTE: Registrar permanently keeps evaluations and grade sheets for UTHSCSA students taking rotations as coursework. Departments should send narrative evaluations to them. SEE records 665 and 674 under Student Records.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Revision Note:** Revised remarks to point to student individual personnel file and permanent records. 2013: Removed AV from retention. 2015: Clarified AC designation for non-UTHSCSA students.
RETENTION CODES
AC - After Closed, Terminated, Completed, Expired, Settled
AV - Administratively Valuable
CE - Calendar Year End
FE - Fiscal Year End
LA - Life of Asset
MO - Months
PM - Permanent
US - Until Superseded

ARCHIVAL CODES
I - Retain in University Archives
O - Review by University Archives

SECURITY CODES
C - Confidential Record
O - Open Record

VITAL CODES
True - Record Series is considered vital to ongoing university business. Records identified as vital are to be safeguarded by routine maintenance of off-site backup.
False - Record Series is not vital. No backup is required.

DEPARTMENT CODES
AA Vice President for Academic Administration
AC Accounting
AD Executive Vice President for Facility Planning Administration
ATS Academic Technology Services
BA Executive Vice President for Business Affairs
BU Bursar’s Office
CL Clinics
CO Office of Regulatory Affairs and Compliance
CSS Information Management Client Support Services
DE Departments
DI Drug Information Service
DN Dean(s) Office
DS DSRD
DV Vice President for Development
EA Office of Communications
ECO Senior Executive Vice President/Chief Operating Officer
EE Equal Employment Opportunity/Affirmative Action
EN Environmental Health Safety
FM Facilities Management
GS General Services
HR Human Resources
IA Internal Audit and Consulting Services
IC Institutional Animal Care Use Committee
IMI Integrated Management Information Systems
IR Institutional Review Board
ISO Information Security Office
LA Laboratory Animal Resources
LE Legal Affairs
LIB Library
OIS Office of International Services
OSP Office of Sponsored Programs
OST Office of South Texas Technology Management
PA Payroll Services
PC South Texas Poison Center
PR President’s Office
PU Purchasing
RE Vice President for Research
SD Service Departments
SNO Systems Networking Operations
SS Student Services
UPO University Police
UTM UT Medicine
VP Appropriate Vice President or Executive Vice President Office