APPENDIX

EXPLANATION OF FIELDS

Records Series Item Number – Records series item numbers are assigned by the State and Local Records Management Division of the Texas State Library and Archives Commission.

Agency Item Number – Unique number assigned to the record series by the University of Texas Health Science Center at San Antonio. Includes abbreviation for department(s) responsible for keeping the official copy of the record. See list of departmental abbreviations on page 268.

Records Series Title – The most general titles possible have been chosen. Explanations are provided for those titles which are not self-explanatory.

Retention Period – Retention is expressed in years unless otherwise noted. Retention codes are located at the bottom of each page.

Archival – Those records series that must be transferred, or evaluated, for archival preservation. Archival codes are located at the bottom of each page.

Remarks – This column contains citations to applicable federal or state laws or regulations or other information regarding records retention requirements.

CAUTION STATEMENT: All retention periods are subject to the following caution: A state record may not be destroyed if any litigation, claim, negotiation, audit, open records request, administrative review, or other action involving the record is initiated before the expiration of a retention period for the record set by the Texas State Library and Archives Commission or in the approved records retention schedule of the University until the completion of the action and the resolution of all issues that arise from it, or until the expiration of the retention period, whichever is later.

DEPARTMENTAL CAUTION STATEMENT: Departments are responsible for providing supporting financial documentation in the event of any litigation, claim, negotiation, audit, open records request, administrative review, or action monitoring a record for those records not maintained by the central business units as noted in the schedule. Departments should maintain departmental financial records for the past three years in addition to the current year and should maintain all records related to grants or contracts in accordance with the terms prescribed by the granting agency. In cases where documentation cannot be produced by the department, the department will be responsible for any reimbursements to state and federal agencies.
EXPLANATION OF CODES

Archival Codes:

I = The records must be transferred to University Archives.

O = The records should be appraised for archival or historical value before destruction. Records found to have historical value should be transferred to the University archives.

Retention Codes:

Retention Periods = All numbers used with retention periods are expressed in years unless otherwise indicated.

AC = After Closed (or terminated, completed, expired, or settled) – The record is related to a function of activity with a finite closure date.

AV = As Long as Administratively Valuable – 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 University, if any, has been satisfied. This retention period replaces PS (Purpose Served), used in previous University schedules.

CE = Calendar Year End – December 31.

FE = Fiscal Year End – August 31.

LA = Life of Asset – the record is retained until the disposal of the asset.

MO = Months

PM = Permanent – A record that possesses enduring legal, fiscal, or administrative value and must be preserved permanently by the University.
US = Until superseded – The record is replaced by an updated version. If a record subject to this retention period is discontinued or is no longer required by law, the date of supersession is the date the decision to discontinue the record is made or the law takes effect. If the record relates to an employee, the date of supersession is the date of termination or the last date the record is needed with reference to the employee, as applicable. For example, an authorization for direct deposit (See Records Series Item 3.2.008) would be superseded on the date the last deposit is made under the authorization.

**Responsible Departments** (under “Agency Item Number” column):

- AC  Accounting
- AFS  Vice President for Academic, Faculty, and Student Affairs
- ATS  Academic Technology Services
- BU  Bursar’s Office
- CDO  Vice President for Institutional Advancement and Chief Development Officer
- CFO  Vice President and Chief Financial Officer
- CL  Clinics
- COM  Office of Communications
- DE  Departments
- DI  Drug Information Service
- DN  Dean(s) Office
- DS  DSRD
- EE  Executive Director Academic, Faculty & Student Ombudsperson and ADA Compliance
- EN  Environmental Health & Safety
- FM  Facilities Management
- FPO  Executive Vice President for Facility Planning and Operations
- FSP  Facilities Space Planning and Real Estate
- HR  Human Resources
- IA  Internal Audit & Consulting Services
- IC  Institutional Animal Care & IACUC
- IMI  Integrated Management Information Systems
- IMS  Information Management Services
- IR  Institutional Review Board
STATE OF TEXAS
Records Retention Schedule
The University of Texas Health Science Center at San Antonio

ISA Information Security and Assurance
LA Laboratory Animal Resources
LE Legal Affairs
LIB Library
MM Materials Management
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
RA Office of Regulatory Affairs & Compliance
RE Vice President for Research
RG Registrar
SD Service Departments
SNO Systems & Networking Operations
UPO University Police
UTM UT Medicine

EXPLANATION OF TERMS


RECORD COPY – The document kept on file as an original or official record for the total retention period. Distinct from a “working” or “convenience” copy, which is a duplicate used for reference purposes. CAUTION: Care must be taken in determining if duplicate records are indeed convenience copies or if two or more copies of the same document must be considered record copies. It is possible for the same document to be present in two or more units of the institution and be a record copy in each unit if it serves a different function in each of these units.
RECORD SERIES – A group of identical records with the same function and the same retention period that is evaluated as a unit for retention scheduling purposes.

RETENTION PERIOD – The amount of time a records series must be retained before destruction or archival preservation.

STATE PUBLICATION – Information in any format that is produced by the authority of or at the total or partial expense of the University or is required to be distributed under law by the University, or is publicly distributed. The term does not include information the distribution of which is solely limited to contractors with or grantees of the University, staff persons within the University or within other governmental agencies, or members of the public under a request made under the Public Information Act, Government Code, Chapter 552. The term includes but is not limited to: a publication distributed in print, online publications, one or more text, graphic, or other digital files, or a user interface to a computer database.

TAC – Texas Administrative Code. Regulations of state agencies adopted under authority of laws enacted by the Texas legislature.

SUPPLEMENTAL NOTE – PERSONNEL RECORDS

INDIVIDUAL PERSONNEL FILE

a. The employee’s entire personnel file is to be retained at least 5 years after separation:

b. Information to be maintained in employee personnel files for a period of 50 years after retirement:
   1) Teacher Retirement, Optional Retirement, and insurance beneficiary information.
   2) Optional Retirement Program Acknowledgement
   3) Optional Retirement Program Company(s) in which retiree has contributions
   4) Appointment and salary history (minimum information needed to verify employment, including name, social security number, date of birth, exact dates of employment, and last known address)

c. Information to be maintained in employee personnel files for a period of 50 years or more, the items should be as follows:
   1) Optional Retirement Program Acknowledgement
2) Appointment and salary history (minimum information needed to verify employment including name, social security number, date of birth, exact dates of employment, and last known address)

d. Former employee Verification Records to be maintained until termination of employment plus 75 years. Minimum information needed to verify employment including name, social security number, exact dates of employment, and last known address.

SUPPLEMENTAL NOTES TO STUDENT RECORDS SECTION

SECTION 1: Admissions Records / Non-Matriculates.

1. Although the retention period for these records is one year, federal legislation or state statutes may dictate otherwise. The federal legislation which governs these records is as follows: Veterans Administration regulations require that all recruitment materials be retained 3 years.

2. Records for applicants who do not enter are not covered by FERPA.

3. Some documents from institutions in other countries may be originals and therefore difficult or impossible for the applicant to replace. The records custodian may want to return these documents to the applicant rather than destroying them.

SECTION 2: Admissions Records/ Matriculates.

1. Essential data will be recorded on academic records, which are retained for 75 years. Those records that are not kept after enrollment are: documentation of experience forms, interview rating forms, personal statements (supplement to application), publications, recommendation letters, recruitment materials, resumes, and waivers for rights of access to recommendation letters.

2. The Family Educational Rights and Privacy Act (FERPA) states that letters of recommendation not accompanied by waivers and retained beyond their intended use may be viewed by the student. As a consequence, it is recommended that these letters be destroyed after admission of the student. Waivers of rights of access filed with letters of recommendation should be retained as long as the file is retained. Students who revoke their waivers of rights of access may not see letters of recommendations during the time the waivers were in force.
3. The Veterans Administration (VA) regulations state that the following student records must be retained for at least 3 years after termination of enrollment:
   a. Previous education or training (transcripts from other colleges)
   b. Evidence of formal admission (acceptance letters)

4. Educational institutions which participate in federal, state and private programs of low-interest loans to students must retain student records of admission and placement for 5 years after graduation or withdrawal. In the event of an open audit, records must be retained until all questions are resolved.

5. Some documents from institutions in other countries may be originals and therefore difficult or impossible for the applicant to replace. The records custodian has the option to return these documents to the applicant rather than destroying them.

SECTION 3: Other Student Records for Matriculates

1. Any record recommended for permanent retention should be microfilmed and/or digitized for security even if the original is retained. The original microfilm should be stored and secured in an off-site location. All digitized records should also be backed up off-site.

2. The Family Educational Rights and Privacy Act (FERPA) specifically require institutions to maintain records of requests and disclosures of personally identifiable information except for defined “directory information” and requests from students for their own records. The records of disclosures and requests for disclosures are considered part of the students’ educational records; therefore, they must be retained as long as the educational records to which they refer are retained by the institution.

3. The Veterans Administration (VA) regulations state that the following records must be retained for at least 3 years after termination of enrollment:
   a. Grade reports and/or statements of progress (academic records).
   b. Change of course forms and transfer credit evaluations.
   c. Degree audit records.
VA regulations require that all advertising, sales, and enrollment materials (e.g. catalogs and brochures) used by or on behalf of the institution be retained 3 years after the termination of a veteran’s enrollment. In addition, records of tuition and fees charged to and collected from students, grade reports and statements of progress (academic records), and previous education and training documents (transfer credit evaluations) must be retained for 3 years.

4. Educational institutions which participate in federal, state, and private programs of low-interest loans to students must retain student records of courses studied for 5 years after graduation or withdrawal. In the event of an open audit, records must be retained until all questions are resolved.

5. Although student records created and maintained by medical and dental schools are usually narrative assessments of academic progress or clinical practice, for purposes of this retention schedule, such records are in the same category as the academic record.

6. The immigration and naturalization Service (INS) states that the school must keep a record used to comply with the reporting requirements for at least one year. Since many items included in foreign students’ records are to be retained at least five years, it is recommended that INS documentation also be retained five years.

SECTION 4: FERPA (Family Educational Rights and Privacy Act) Documents

1. Which it pertains: students’ waivers of rights to access to letters of recommendation, for example, should be retained until terminated or the letters themselves are destroyed. If the retention period for a record to which a Family Educational Rights and Privacy Act (FERPA) document pertains is permanent, the FERPA document should also be permanently retained and microfilmed and/or digitized for added security.