

Vital Records

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
1.1 Administrative Records - General								
1.1.007	73 DE	Correspondence - Administrative.	Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of the university and the administrative regulations, policies, and procedures that govern them.	4	O	O	True	ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the University Archives when these records have met their retention requirements. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the university's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the period prescribed by item number 1.1.004. A letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
1.1	190 AFS, DN, DE	Accreditation Records.	This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+5	O	O	True	VP for Academic, Faculty & Student Affairs handles accreditation for entire institution. Deans handle accreditation for their school, except for the Dean of the School of Health Professions. Each Health Professions department is responsible for its own accreditation. Departments keep records for courses and materials they have developed that have been accredited by various associations. SEE ALSO: Accreditation Records - Residency Programs (Section 1.1 number 489).
1.1.064	197 CFO	University Performance Measures Documentation.	Any records of the university needed for the documentation of output, outcome, efficiency, and explanatory measures in the university's appropriations request or strategic plan, and for performance measures in the university's appropriations request or strategic plan, and for performance measures used to manage the university.	FE+3	O		True	CAUTION: The FE+3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of university performance measures.

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
1.1	206 LE, DN, DE	Affiliation Agreements.		AC+4	O		True	AC = Termination of agreement. CAUTION: Departments should check with their accrediting agency to determine retention requirements for accreditation.
1.1	207 AC	Deeds and other Legal Documents Reflecting Legal Title.	This records series consists of property deeds. The series may include, but is not limited to, appraisals, surveys, descriptions of property, the names of grantors and grantees, mortgagers and mortgagees, and other supporting documents. The series may also document institution ownership of vehicles such as cars, vans, trucks, trailers, boats, tractors, and farm vehicles.	LA	O		True	
1.1.011	212 PR	Executive Orders.	Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of the university.	US+5	O	I	True	

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
1.1.070	364 CFO, RA	University Rules, Policies, and Procedures - Final.	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by the university that sets out the rules, policies, and procedures that govern the university's programs, services, or projects.	AC+3, FE+6	O	O	True	AC = Completion or termination of program, rules, policies or procedures. Settlement with U. S. Office of Inspector General requires a FE+6 retention period for the Medical School Faculty Practice Plan Compliance Manual and the Institutional Compliance Program and Standards of Conduct Booklet. The online version of the UTHSCSA Handbook of Operating Procedures (HOP) is the record copy of that document and is available on the university's web site under the Office of Regulatory Affairs & Compliance web page. Printed copies are kept in several departments. SEE ALSO Agency Rules, Policies and Procedures - Working Files, item number 1.1.071. SEE ALSO 1.1 # 667 for policies of the University Police.
1.1	552 OSP	Material Transfer Agreements (MTA's).		AC+20	O		True	AC = Date the material transfer agreement was signed. Retention based on legal opinion from UTHSCSA Office of Legal Affairs.

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
1.1	562 OST	Invention Disclosures.	Includes Invention Report Forms and/or any other related documents used to disclose an invention, as well as any affiliated agreements with related correspondence and financial documentation, and any affiliated federal regulation compliance records.	AC+7	C	I	True	AC = After commercialization efforts for the invention disclosed have been concluded, or rights to the invention have been released to the inventor/s and all outstanding obligations under the release have been satisfied, or invention has been declared uncommercializable or otherwise unsuitable for continued processing. Mandatory backup of documents at off-site location.
1.1	565 OST	Inventions – Other Agreements.	Includes all other agreements not associated with a specific Invention Report Form, Patent, Trademark or Copyright, along with related correspondence and financial documentation.	AC+7	C	I	True	AC = Expiration, termination, or completion of terms of agreement. Mandatory backup of documents at off-site location.
1.1.071	570 CFO, RA	University Rules, Policies, and Procedures - Working Files.	Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by the university that sets out the rules, policies, and procedures that govern the university's programs, services, or projects. Documents changes in prior policies and procedures.	AC+3	O	O	True	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO item number 1.1.070 (University Rules, Policies, and Procedures - Final).

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
1.1	667 UPO	University Rules, Policies, and Procedures - Final - University Police.	Includes final copy of manuals, guidelines, administrative rules, code of conduct or similar records distributed internally in the University Police department for the use of employees or externally to the public or those individuals or entities regulated by the university policy that sets out the rules, policies, and procedures that govern the programs, services, or projects of the University Police.	AC+5, PM	O	O	True	AC = Completion or termination of program, rules, policies or procedures. Only code of conduct must be kept permanently. Retentions based on Local Schedule PS - Retention Schedule for Records of Public Safety Agencies - as recommended by UT System Police Director's Office.
2.1	Electronic Data Processing Records - Automated Applications							
2.1.010	55 SNO, IMI, DE	Audit Trail Records.	Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC	O		True	AC = All audit requirements have been met.
2.1.011	59 SNO, IMI, DE	Finding Aids, Indexes, and Tracking Systems.	Automated indexes, lists, registers, and other finding aids used to provide access to records.	AC	O		True	AC = The related records have been destroyed. CAUTION: These records must carry the same retention period and archival code of the records they support.

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
2.1.008	60 SNO, DE	Hardware Documentation.	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC	O		True	AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
2.1.002	61 DE	Master Files.	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC	O		True	AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur. NOTE: Departments will work with Integrated Management Information Systems (IMI) to manage the retention of records for applications maintained by IMI rather than departmental personnel. CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
2.1.001	63 SNO, IMI, DE	Processing Files.	Machine-readable files used in the creation, utilization, and updating of master files.	AC	O		True	AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur. CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.
2.1.007	65 DE	Software Programs.	Automated software applications and operating system files including job control language, program listing/source code, etc.	AC	O		True	AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
2.1.009	67 DE	Technical Documentation.	Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	AC	O		True	AC = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
2.2	Electronic Data Processing Records - Computer Operations and Technical Support							
2.2.010	58 SNO, IMS	Data Processing Policies and Procedures.	Manuals, guidelines, or similar documents establishing data processing policies and procedures in the university in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.	US+3	O		True	CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number 2.1.009 (Technical Documentation).
2.2.012	62 SNO, IMI, DE	Output Records for Computer Production.	Reports showing transactions that accepted, rejected, suspended, and/or processed.	AV	O		True	
2.2.016	589 DE, PU	Software Registrations, Warranties and License Agreements.		LA+3			True	License agreement is imaged and kept in the centralized institutional document imaging system managed by Purchasing.

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
3.1	Personnel Records - Employee							
3.1.018	110 HR, DE	Grievance Records.	Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC+2	O		True	AC = Final decision on the grievance - CAUTION: Does not include formal complaints filed by the university employee with the Equal Employment Office (EEO) of the U.S. Department of Labor (SEE: 1.1.048 number 208) or sexual harassment complaints (SEE: 3.1.018, number 116). Internal Audit will expect the department to maintain this documentation in the event of an audit, rather than the institutional processing office (i.e., HR or EE). EE only handles non-discrimination cases.
3.1.018	116 EE, HR	Grievance Records - Sexual Harassment.		AC+3	O		True	AC = Separation of employment of BOTH complainant and respondent. Records must be kept as long as either party is still at UTHSCSA. EE is responsible for records pertaining to Faculty, Residents, Students, and Post-Doctoral Fellows. HR is responsible for Staff and Administrative & Professional personnel records.

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
3.1.031	151 HR	Employee Benefits - Other than Insurance.	University copies of information relating to the selection of available benefit options other than insurance.	AC+5	O		True	AC = Until superseded or termination of employment. CAUTION: documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.
3.1.011	153 HR	Employee Benefits Records.	Information relating to the selection of employees/retirees of life, disability, health, and other types of insurance offered by the University of Texas System Office of Employee Benefits to its employees.	AC+5/50	O		True	AC = Until termination of employment or retirement. Records for retired employees kept 50 years, all others for 5 years. NOTE: Superseded records kept as long as file is kept. CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.
3.1.013	155 HR	Employment Contracts.	Includes Faculty and Administrative/Professional Memorandums of Appointment.	AC+5	O		True	AC = Expiration or termination of the contract/Memorandum of Appointment according to its terms.

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
3.1.029	156 HR	Employment Eligibility, Documentation or Verification of.	Department of Homeland Security/ U.S. Citizenship and Immigration Services Form I-9.	AC	O		True	AC = 1 year after termination of employment or 3 years after hire date, whichever is longer. CAUTION: Agencies should make certain that the Form I-9 for employees who terminate from the university less than 3 years from date of hire are kept for the 3 years retention period. 8 CFR 274a.2(b)(2)(i)(A) and (c)(2).
3.1.035	161 DE	Performance Bonds.	Bonds posted by employees and individuals or entities under contract with the university for the performance of the duties of a position or the terms of a contract with the university.	AC+4	O		True	AC = Expiration or termination of the bond according to its terms. CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028.

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
3.1.014	180 EE, DE, PR	Employment Selection Records - Faculty and Executive Committee Members.	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; sanction checks; waiver requests; special circumstance requests; selection of candidate forms; cover sheets for faculty appointments; and all other records that document the selection process.	AC+3, 75	O		True	AC = Recruitment date. EE keeps faculty recruitment reports 75 years. Sanction (Office of Inspector General/General Services Administration (OIG/GSA) Database Check), security, and driving clearances are electronic. Previous injury checks and physical exams are held by departments. All records for Fellows are held by departments with notification to EE. President's office may retain records for applicants for Executive Committee members and department chairs for as long as they are administratively valuable.
3.1.023	182 HR, EE	Position/Job Descriptions.	Job descriptions, including all associated task or skill statements, for positions in the university.	AC+5	O		True	AC = Until superseded or job eliminated. 40 TAC 815.106(i). UTHSCSA keeps longer than state requirement. Human Resources files non-faculty records; EE files faculty and Executive Committee records. Human Resources records are electronic.

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
3.1.021	183 HR, EE, DE	Personnel Disciplinary Action Documentation.	Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the State, the University, or the employee work force, and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC+5	O		True	AC = Termination of employment. Internal Audit will expect the department to maintain this documentation in the event of an audit, rather than the institutional processing office (i.e. HR or EE).

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
3.1.014	504 HR, DE	Employment Selection Records - Staff.	Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving record and previous injury checks, pre-employment physical examinations, pre-employment drug screening test results, polygraph examination results, sanction checks, waiver requests, special circumstance requests, selection of candidate forms, cover sheets for staff appointments, and all other records that document the selection process.	AC+5	O		True	For Human Resources, AC = after separation of employee from UTHSCSA. For departments, AC = after recruitment date. Human Resources keeps waiver requests, selection of candidate forms, and cover sheets. After 8/1/2003 selection of candidate information is electronic. Sanction (Office of Inspector General/General Services Administration (OIG/GSA) Database Check), security, and driving clearances are electronic. Departments keep everything else. NOTE: Retention based on UTHSCSA practice as 29 CFR 1602.31 [State Agencies] and 29 CFR 1602.49(a) [State Universities] only require 2 years. CAUTION: Does not include criminal history checks. SEE item number 3.1.026. Also does not include records for selection of residents/fellows. SEE item number 3.1 # 408.

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
3.1.018	534 EE, HR	Grievance Records - Nondiscrimination & ADA (Americans with Disabilities Act).		AC+3	O		True	AC = Separation of employment. EE is responsible for records pertaining to Faculty, Residents, Students, and Post-Doctoral Fellows. HR is responsible for Staff and Administrative & Professional personnel records. Visitors may be handled by either EE or HR depending on the visitor type.
3.1.038	590 HR	Release of Personal Data Form.	Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code 552.024.	US	O		True	Information is recorded in PeopleSoft. SEE item number 3.3.011 for former employees.
3.2	Personnel Records - Payroll							
3.2.002	16 PA	Employee Earnings Records.	Documentation of employee earnings. Records may include, but are not limited to, Payroll Earnings Registers, Alpha Register, Check Distribution, Check Register, Employee Name Sequence, Daily Transactions, Checks issued for the month, Earning Statement, Canceled Checks and Online adjustments, Monthly detail of close-out, Monthly Adjustment Alphabetic Roster.	4	O		True	40 TAC 815.106(i).

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
3.2.003	25 PA	Federal Tax Records.	Includes 1099, W-2, FICA, and other tax records. This series provides a summary record of data reported on the annual wage and tax statements for agency employees, corrections to these statements, and a record of transmittal to the federal government. Records include print-outs from the agency by year in social security number order which include names, social security numbers, tax subject earnings, other data required by law, summary transmittal forms, and FICA records.	AC+4	O		True	AC = Tax due date, date claim is filed, or date tax is paid whichever is later. 26 CFR 31.6001-1(e)(2). IRC Section 6531 Title 26-Internal Revenue Code.
3.2.004	31 PA	Income Adjustment Authorizations.	Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.	2	O		True	29 CFR 516.6(c).
3.2.008	150 PA	Direct Deposit Application/Authorizations.	Applications and authorizations from employees giving permission to the agency to directly deposit payroll checks into a specified bank account.	US	O		True	
3.2.001	152 PA	Employee Deduction Authorizations.	Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC+4	O		True	AC = Termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.
3.2.010	159 HR	Human Resources Information System (HRIS) Reports.	Includes supporting documentation.	AC+4	O		True	AC = After completion of report.

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
3.2.009	166 HR	State Deferred Compensation Records.		AC+5	O		True	AC = All accounts with a vendor or vendors for the individual participant have been closed. For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the Benefits Coordinator Reference Manual issued by the Employees Retirement System of Texas.
3.2.005	170 PA	W-4 Forms.	Employer's copy of "Employee's Withholding Exemption Certificate".	AC+4	O		True	AC = Until superseded, obsolete, or upon separation of employee. 26 CFR 31.6001-1 (e)(2).
3.3	Personnel Records - Personnel Administration							
3.3.031	115 HR, EE	EEO (Equal Employment Opportunity) Reports and Supporting Documentation.	Includes documentation used to complete EEO reports.	3	O		True	29 CFR 1602.32, 1602.39, 1602.41, 1602.48 and 1602.50. OFCCP (Office of Federal Contract Compliance Program) requires 3 years retention. Includes Post-Employment EEO/AA forms. HR retains the Post Employment EEO/AA forms for Classified and A&P employees. EE only handles demographic data for faculty, no reports.

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
3.3.032	157 HR	Equal Pay Records.	Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the Federal Equal Pay Act.	3	O		True	29 CFR 1620.32.
3.3.011	158 HR	Former Employee Verification Records.	Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC+75	O		True	AC = Termination of employment. SEE Supplemental Note - Personnel Records, part d, in Appendix. Electronic version of record kept in PeopleSoft Records. SEE 3.1.038 for public access information for current employees.
3.4	Personnel Records - Time and Leave							
3.4.003	37 PA	Less Than Full-Time Worked Reports.	Dates and hours.	4	O		True	40 TAC 815.106(i).
3.4.002	160 DE	Leave Status Reports.	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE+3	O		True	Monthly Departmental reports are maintained outside of PeopleSoft. Leave balances are updated monthly in PeopleSoft HCM based on an automated interface from Document Review System (DRS) database.

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
4.4 Fiscal Records - Ledgers								
4.4.004	17 PA	Employee Savings Bond Ledgers.		FE+6	O		True	Federal Reserve no longer sends out ledgers. Electronic tapes destroyed when returned. PeopleSoft shows information with employee records.
4.4.001	28 AC	General and Subsidiary Ledgers.		FE+3	O		True	
4.4.002	46 AC, DE	Accounts Receivable Ledgers.		FE+3	O		True	Includes manual and electronic invoice and billing records. Internal Audit will expect the department to maintain this documentation in the event of an audit, rather than the institutional processing office (i.e., Accounting). SEE 4.7.008 for fiscal records for federal grants.
4.7 Fiscal Records - Other Fiscal								
4.7.001	1 AC	Accounting Policies and Procedures Manual.	Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the accounting function of an agency.	US+3	O		True	
4.7.005	12 AC	Claim Files.		AC+3	O		True	AC = Resolution of claim.
4.7.010	38 AC	Long-Term Liability Records.	Bonds, etc.	AC+3	O		True	AC = Retirement of Debt.

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
4.7	344 CDO, DE	Gift Records - Agreements, Wills, and Related Documents.	This series documents potential or realized private, corporate, or public agency funding to the institution, including endowments and trusts. This series includes letters and agreements of gift, copies of bequest instruments and wills from individuals or estates, and related documentation and correspondence.	PM	O	I	True	Security is open with restrictions. SEE ALSO record 4.7 # 711 - Gift Records - All Other Records and record 9.1 # 652 - Scholarship Reports.
4.7.008	388 AC, DE	Federal Grant Records (Sponsored Grants & Contracts) - Fiscal Records.	This records series consists of fiscal records for grants and contracts that have been awarded by federal agencies.	AC+6	O		True	AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (The Common Rule). Retention reflects UTHSCSA practice. CAUTION: Retention requirements may vary depending on the specific federal funding agency. The university must ensure that records are retained for the appropriate retention period. Internal Audit will expect departments to provide records in case of an audit. Accounting keeps these records for FE+3 years only. Department responsible for backing them up for entire retention period required by granting agency if it is longer.

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
4.7	711 CDO, DE	Gift Records – All Other Records.	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.	7	O	O	True	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.
5.1 Support Services Records - General								
5.1.013	84 DE	Insurance Policies.	For vehicles, equipment, etc.	AC+4	O		True	AC = Expiration or termination of the policy according to its terms.
5.1.010	86 DE	Licenses and Permits for Non-vehicles.	Does not include licenses and permits issued by an agency as part of its statutory responsibilities.	AC+2	O		True	AC = Expiration date of license or permit.
5.1.001	366 PU	Contracts and Leases.	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. Also includes interagency agreements (between State of Texas government entities) and clinical services agreements for patient care.	AC+4	O		True	AC = Expiration or termination of the instrument according to its terms. NOTE: Original, signed, and fully executed contract is imaged and kept in the centralized institutional document imaging system managed by Purchasing. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. SEE 5.1 # 684 for provider enrollment contracts.

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
5.1	684 UTM, DE	Provider Enrollment Contracts.	Contracts with insurance companies for reimbursement for patient services.	AC+10	O		True	AC = Termination of agreement. Departments are official record keeper only if the contract is with someone other than UT Medicine.
5.2	Support Services Records - Facility Management							
5.2.001	120 FM	Appraisals - Building or Property.		AV	O	O	True	Electronic records are updated and maintained on the UT System and Administration WEB site.
5.2.028	121 FM	Building Construction Contract and Inspection Records.	Building construction contracts, surety bonds, and inspection records.	LA+10	O	O	True	SEE ALSO item numbers 5.2.002 for building construction project files and 5.2.003 for building plans and specifications.
5.2.002	122 FM, FPO	Building Construction Project Files.	Planning, design, and construction records; accepted and rejected bids; correspondence; etc.	AC+10	O	O	True	AC = Completion of project. SEE ALSO item numbers 5.2.003 for building plans and specifications and 5.2.028 for building construction contract and inspection records.

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
5.2.003	123 FM, PU, FPO	Building Plans and Specifications.	Includes architectural and engineering drawings, profiles, and blueprints.	LA, AC+2	O	O	True	University owned: LA; Leased: AC+2. AC = For leased buildings, termination or cancellation of lease. SEE ALSO item numbers 5.2.002 for building construction project files and 5.2.028 for building construction contracts and inspection records. ARCHIVES NOTE: Archival review designation is for university owned buildings only. Facilities Management handles records for owned buildings. Purchasing handles records for leased buildings. Facilities Planning & Operations also has records for leased space.
5.4 Support Services Records - Risk Management								
5.4.001	143 EN	Accident Reports and Associated Documentation.	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally on accident frequency.	CE+5	O		True	29 CFR 1904.33. Includes Notification of an On-the-Job Injury forms. The Texas Department of Insurance retains copies of the reports submitted to it for 50 years. SEE ALSO 5.4 # 402 - Health and Safety Incident Reports for injuries to students or visitors and 5.4 # 427 Records of Terminated Principal Investigators (PI's).
5.4.008	235 EN, FM	Hazard Communication Plans.		US+5	O		True	Texas Health and Safety Code, 502.009(g).

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
5.4.012	333 UPO, SNO, IMS, DE	Security Access Records.	Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to university facilities, equipment or automated systems. Also includes Access Control Executive (ACE) designation forms for departments and records indicating fulfillment of annual ACE training requirements.	AC+2	C		True	AC = Until superseded, date of expiration, or date of termination, whichever sooner. SNO handles security for automated systems. NOTE: This is a vital record. Responsible department should check for backup.

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
5.4.013	365 PR, DE	Business Continuity Plans.	Includes comprehensive programs for business continuity, disaster prevention and total business recovery in the event of an operational disruption, or an adverse, major or catastrophic event such as severe weather, riots, fires, droughts, floods, or other events which could affect normal operations and facilities within the jurisdiction of the institution. Includes business recovery, disaster recovery, business resumption, contingency planning, and crisis management planning. The preparedness portion may include but is not limited to: a list of essential employees, housing, emergency numbers, etc. The recovery portion may include but is not limited to: diaries; logs; reports; photographs; notes which indicate or document what happened, when, and where; and related documentation and correspondence. May include documentation of a predetermined set of instructions or procedures that describe how the university's business functions will be sustained during and after a significant event or disruption. Plans may be unit specific or part of a larger entity-level plan.	US, US+3	O		True	Retention: All departments except University Police = US; University Police = US+3 as required by Local Schedule PS - Retention Schedule for Records of Public Safety Agencies - as recommended by UT System Police Director's Office.

Record Series Item #	Agency Item No and Dept.	Records Series Title	Description	Retention Period	Security	Archival	Vital	Remarks
5.6	Support Services Records - Vehicles							

5.6.007	44 AC	Vehicle Titles and Registrations.		LA	O		True	
---------	-------	--	--	----	---	--	------	--

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.