



**The University of Texas System**

# **Records Retention Schedule**

**8<sup>th</sup> Recertified, 3<sup>rd</sup> Amended Version**

**Effective October 2, 2023**



## Welcome to the UTS Records Retention Schedule (UTS RRS)

The University of Texas System Administration Records Retention Schedule (UTS RRS) provides detailed guidance on the retention requirements for records created, received, used, and stored by or on behalf of UT System Administration.

The UTS RRS was developed and is routinely updated in response to requirements from: 1) federal and state laws for the minimum retention required for records, including state retention schedules on which the agency's schedule must be based; 2) other entities that regulate or oversee System activities; and 3) System subject matter experts for business and operational use of agency records.

The UTS RRS is certified by the Texas State Library and Archives Commission (TSLAC) and adopted as official System policy to:

- List minimum retention and archival preservation requirements for all records created in the course of System business.
- Form a basis to authorize the destruction of System records.

### **CAUTION:**

**A record may not be destroyed if there is any action pending against it.**

Even if a record has met the retention period specified in this retention schedule, it may not be destroyed if any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record is initiated until the completion of the action and the resolution of all issues that arise from it.



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### Records Common to All Departments

*This section is in alphabetical order by Record Series Title.*

| UTS ID<br>(AIN) | State ID<br>(RSIN) | Record Series Title<br>Description  | Retention |     |     | AC Definition                        | Archival  | Remarks | Legal Citations |
|-----------------|--------------------|---|-----------|-----|-----|--------------------------------------|---|---------|-----------------|
|                 |                    |   | Code      | Yrs | Mos |                                      |   |         |                 |
| ALL1851         | 4.1.009            | <b>Account Reconciliations</b><br>Departmental copies of internal budgets, invoices, or reconciliations, including any related tracking systems.  | FE        | 3   |     |                                      |   |         |                 |
| ALL1801         | 1.1.013            | <b>Calendars, Appointments, and Itineraries</b><br>Calendars, appointment books, or other itinerary records that document business activities.  | CE        | 1   |     |                                      | <b>CAUTION:</b> Not for records of the Chancellor or Board of Regents; see CHA2143 and BOR2143.<br>NOTE: The disposition of Outlook calendars is tied to employee separation. |         |                 |
| ALL2142         | 1.1.007            | <b>Correspondence – Executive</b><br>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 or service in agency. | ○   |         |                 |

#### Retention Codes:

AC = After Closed; see AC Definition | AV = As long as Administratively Valuable  
 CE = Calendar Year End | FE = Fiscal Year End  
 LA = Life of Asset | PM = Permanent | US = Until Superseded

#### Archival Codes:

I=Transfer to Archives  
 ○=Archivist Review Required



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|--------------|-----------------|---|-----------|-----|-----|---|----------|--|-----------------|
|              |                 |   | Code      | Yrs | Mos |   |          |  |                 |
| ALL1798      | 1.1.008         | <b>Correspondence - Non-Executive</b><br>Emails, letters, memos, or other communications concerning System operations that are not included in another record series on this schedule.  | AC        | 2   |     | AC=Date sent or received.   |          |  |                 |
| ALL2200      | 5.2.029         | <b>Correspondence - Returned Mail</b><br>Documentation of mail returned by the postal or other mail delivery services as undeliverable.   | AC        | 1   |     | AC=Date returned.   |          |  |                 |
| ALL2201      | 2.1.002         | <b>Databases - Master Files and Application Data</b><br>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     | 3.3.000         | <b>Departmental Personnel Files</b><br>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   | 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 |                 |

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|-----------------|--------------------|---|-----------|-----|-----|-------------------------------------|----------|--|---|
|                 |                    |   | Code      | Yrs | Mos |                                     |          |  |   |
|                 |                    | documents related to any personnel matter.  |           |     |     |                                     |          | Innovation immediately upon separation from the department.<br><br>*Record series added on 10/2/23 (UTS RRS 8.3) |   |
| *ALL2203        | 3.4.007            | <b>Departmental Time and Leave Records</b><br>Leave requests and authorizations, overtime or compensatory time authorizations, and any other record of time or leave not captured in official timekeeping systems.  | FE        | 3   |     |                                     |          | *Record series amended on 10/2/23 (UTS RRS 8.3)  | Texas Government Code, Section 661.152(d);<br>29 CFR 825.500(b) |
| ALL2202         | 5.1.004            | <b>Directories - Mail and Telecommunications Listings</b><br>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   |     |                                     |          |  |   |
| ALL2214         | 11.1.006           | <b>Event Planning Records</b><br>Records relating to the planning and administration of a conference, forum, or other event. Records may include reservation information, catering services orders, participant evaluations, summary reports, and related correspondence. | AC        | 3   |     | AC=Completion of the event.         |          |  |   |

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|--------------|-----------------|--|-----------|-----|-----|---|--|---------|-----------------|
|              |                 |  | Code      | Yrs | Mos |   |  |         |                 |
| ALL1849      | 4.5.002         | <b>Fiscal Management Reports and Worksheets</b><br>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      | 1.1.000         | <b>Meeting Agendas and Minutes – Governance/Advisory Committees</b><br>Agendas, minutes, and supporting documentation of meetings of governance or advisory boards, councils, and committees.  | AC        | 5   |     | AC=Approval of minutes or, if no minutes are prepared, date of the meeting.   | <b>CAUTION:</b> Does not include records of Board of Regents committees; see BOR1247 and BOR2117.  |         |                 |
| ALL1827      | 1.1.023         | <b>Organization Charts</b><br>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.   | <b>I</b> <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         | <b>Plans and Planning Records</b><br>Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are neither included in nor directly related to other records series in this schedule. | AC        | 3   |     | AC=Decision made to implement or not to implement result of planning process. | <b>O</b> <b>CAUTION:</b> Some of these records may be confidential.  |         |                 |

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|--------------|-----------------|--|-----------|-----|-----|--|----------|--|--|
|              |                 |  | Code      | Yrs | Mos |  |          |  |  |
| ALL1800      | 3.3.025         | <b>Policies, Procedures, and Directives (Internal)</b><br>Any internally distributed manuals, guidelines, or similar records that define internal policies, job procedures, or general office procedures.  | AC        | 3   |     | AC=Date superseded or discontinued.            |          |  |  |
| ALL1829      | 1.1.070         | <b>Policies, Procedures, and Rules - System Programs and Services</b><br>Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects. Includes working files and related documentation used in creating rules, policies, and procedures. | AC        | 3   |     | AC=End of need for rule, policy, or procedure. | ○        | Chiefly for external policies. For internal policies, see ALL1800.<br><br><b>ARCHIVES NOTE:</b> Working files and related documentation used in creating the final rules, policies, and procedures, are not subject to archival review and may be destroyed at the expiration of the retention period. |  |
| ALL2205      | 1.1.019         | <b>Public Relations Records</b><br>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.                               | ○        |  |  |
| ALL2206      | 1.3.001         | <b>Publications – Major (Archival)</b><br>A publication is defined as information in any format that is publicly distributed by the agency, statutorily  | 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,   | Texas Government Code, Sec. 441.101-.106 |

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|-----------------|--------------------|--|-----------|-----|-----|---|----------|---|--------------------|
|                 |                    |  | Code      | Yrs | Mos |   |          |   |                    |
|                 |                    | 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. |           |     |     |   |          | TSLAC, by law. Design files, images, original artwork, or drafts created in the creation of a major publication are also considered archival.                           | and 13 TAC 3.1-.16 |
| ALL2207         | 1.3.001            | <b>Publications – Minor (Non-Archival)</b><br>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. |                    |

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|--------------|-----------------|---|-----------|-----|-----|--|----------|--|-----------------|
|              |                 |   | Code      | Yrs | Mos |  |          |  |                 |
| ALL2208      | 1.2.013         | <b>Records Access and Tracking Systems</b><br>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><br>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><br>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   |     |  |          |  |                 |
| ALL1943      | 1.1.069         | <b>Reports - Activity</b><br>Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.   | FE        | 1   |     |  |          |  |                 |
| ALL1840      | 1.1.067         | <b>Reports and Studies (Non-Fiscal)</b><br>Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects   | AC        | 10  |     | AC=Date of report.   | ○        |  |                 |

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|--------------|-----------------|--|-----------|-----|-----|--|----------|---|-----------------|
|              |                 |  | Code      | Yrs | Mos |  |          |   |                 |
|              |                 | 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.  |           |     |     |  |          |   |                 |
| ALL2210      | 1.1.065         | <b>Reports and Studies (Non-Fiscal) -- Raw Data</b><br>Information or data collected and compiled for the purpose of producing non-fiscal reports.   | AV        | 0   |     |  |          |   |                 |
| ALL2212      | 4.7.012         | <b>Signature Authorizations</b><br>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. |          |   |                 |
| ALL1831      | 1.1.040         | <b>Speeches, Papers, and Presentations</b><br>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.  | ○        | <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. |                 |
| ALL1837      | 1.1.063         | <b>Staff Meeting Minutes and Notes</b>   | FE        | 1   |     |  |          | NOTE: Intended for meeting summaries, substantive notes or reports and supporting   |                 |

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|--------------|-----------------|--|-----------|-----|-----|---|----------|---|-----------------|
|              |                 |  | Code      | Yrs | Mos |   |          |   |                 |
|              |                 | Minutes or notes, and supporting documentation, taken at internal agency staff meetings.   |           |     |     |   |          | documentation from internal meetings. Individual reminder or reference notes made by individuals are generally considered Transitory Information; see item number ALL1835.                      |                 |
| ALL1843      | 3.3.030         | <b>Training Development and Presentation Records – Internal</b><br>Records documenting the planning, development, implementation, administration, and evaluation of in-house training programs, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabi, course outlines, and similar training aids used in in-house training programs.                                   | AC        | 2   |     | AC=Close of training session, after training materials superseded, or termination of training program, as applicable. |          | <b>CAUTION:</b> Does not include police academy training records; see applicable POL series. Does not include hazardous materials training records; see RC1642.                                 |                 |
| ALL2213      | 1.1.043         | <b>Training Materials and Administrative Records – External</b><br>Instructional materials and other records developed by an agency associated with training the entities or non-personnel individuals it regulates or serves, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids used in external training programs. | AC        | 1   |     | AC=Close of training session, after training materials superseded, or termination of training program, as applicable. |          | <b>CAUTION:</b> Does not include police academy training; see applicable POL series. See ALL1843 for internal personnel training materials and EHS1642 for hazardous material training records. |                 |

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|-------------------------|-----------------|---|-----------|-----|-----|--|----------|---|-----------------|
|                         |                 |   | Code      | Yrs | Mos |  |          |   |                 |
| ALL1835                 | 1.1.057         | <b>Transitory Information</b><br>Records of temporary usefulness that are not an integral part of a records series of an agency 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 (voice mail, fax, email, hard copy, etc.) are routine messages; telephone message notifications; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction. | AC        | 0   |     | AC=Purpose of record has been fulfilled. |          |   |                 |
| <b>Academic Affairs</b> |                 |   |           |     |     |  |          |   |                 |
| 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><br>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. |                 |

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|--------------|-----------------|--|-----------|-----|-----|---|--|--|--------------------------------------|
|              |                 |  | Code      | Yrs | Mos |   |  |  |                                      |
|              |                 |  |           |     |     |   | *Record series amended on XX/XX/23 (UTS RRS 8.3) |  |                                      |
| ACA1756      | 1.1.000         | <b>Appointments by Governor</b>  | FE        | 1   |     |   | ○  |  |                                      |
| ACA1956      | 3.1.014         | <b>Presidential Search Committee Records</b><br>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)                    |
| ACA2006      | 3.3.020         | <b>Work Schedules or Assignments</b>   | FE        | 1   |     |   |  |  |                                      |
| <b>Audit</b> |                 |  |           |     |     |   |  |  |                                      |
| AUD1957      | 5.4.018         | <b>Annual Audit Plan</b><br>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><br>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><br>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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|-------------------------|-----------------|--|-----------|-----|-----|--|----------|--|--|
|                         |                 |  | Code      | Yrs | Mos |  |          |  |  |
| AUD1962                 | 5.4.019         | <b>Quality Assessment Reviews – Other Programs</b><br>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><br>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) |
| <b>Board of Regents</b> |                 |  |           |     |     |  |          |  |  |
| BOR1247                 | 1.1.062         | <b>Meetings - Supporting Documentation</b><br>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>Rules, Policies, and Procedures - Final</b><br>Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or   | PM        |     |     |  | I        |  |  |

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|--------------|-----------------|---|-----------|-----|-----|---|----------|--|--------------------------------------|
|              |                 |   | Code      | Yrs | Mos |   |          |  |                                      |
|              |                 | externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects. Includes working files and related documentation used in creating rules, policies, and procedures.  |           |     |     |   |          |  |                                      |
| BOR1963      | 1.1.066         | <b>Reports - Biennial or Annual Agency (Narrative)</b><br>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        | <b>ARCHIVES NOTE:</b> 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         | <b>Employment Contracts</b><br>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. |          | "Chief Administrative Officer" is defined in Regents' Rule 10501, Section 3.4.   | Texas Government Code, Sec. 441.1855 |
| BOR1966      | 3.1.027         | <b>Training and Educational Achievement Records (Individual)</b><br>Certificates of completion, certifications, licenses, transcripts, test scores, or similar records documenting  | AC        | 5   |     | AC=Termination of employment.                                 |          |  |                                      |

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|              |                 |  | Code      | Yrs | Mos |   |   |  |                 |
|              |                 | the training, testing, certification, licensing, or continuing education achievements of an employee.  |           |     |     |   |   |  |                 |
| BOR1967      | 3.1.034         | <b>Resumes-Unsolicited</b><br>Retention period only applies if the agency replies to the sender of a resume that it will be kept on file should future job openings occur.   | AV        | 0   |     |   | See HR1000 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process. |  |                 |
| BOR1974      | 5.1.005         | <b>Postage Records</b><br>Records and reports of postage expenses, including postal meter usage.   | FE        | 3   |     |   |   |  |                 |
| BOR1975      | 3.1.014         | <b>Chancellor and Presidential Search Committee Records</b><br>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><br>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) |                 |

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|              |                 |   | Code      | Yrs | Mos |   |          |   |                 |
| BOR1978      | 1.1.007         | <b>Correspondence - Executive (Regental)</b><br>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        |     |     |   | I        |   |                 |
| BOR1979      | 1.1.060         | <b>Meetings, Audiovisual Recordings of Open</b><br>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.   |                 |
| BOR2117      | 1.1.058         | <b>Meeting Agenda and Minutes</b><br>Agendas and minutes of meetings of the Board of Regents.   | PM        |     |     |   | I        | <b>ARCHIVES NOTE:</b> 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         | <b>Calendars, Appointments, and Itineraries – Regental</b><br>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        |   |                 |

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|------------------------------|-----------------|---|-----------|-----|-----|--|----------|--|-----------------|
|                              |                 |   | Code      | Yrs | Mos |  |          |  |                 |
| <b>Budget &amp; Planning</b> |                 |   |           |     |     |  |          |  |                 |
| BUD1000                      | 4.9.001         | <b>Annual Operating Budgets</b><br>Required by the General Appropriations Act.  | PM        |     |     |  |          | Budget Office is the source of historical information for system and institutional inquiries.  |                 |
| BUD1001                      | 1.1.004         | <b>Legislative Appropriation Requests</b><br>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. <b>ARCHIVES NOTE:</b> 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         | <b>Fiscal Notes</b><br>Fiscal notes and working papers.   | AC        | 6   |     | AC=September 1 of odd-numbered calendar years. |          |  |                 |
| BUD1003                      | 4.9.001         | <b>Budgeting Documentation</b><br>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><br>Quarterly and annual reports on agency performance measures submitted to executive and legislative               | AC        | 6   |     | AC=September 1 of odd-numbered calendar years. |          |  |                 |

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|------------------------------|-----------------|---|-----------|-----|-----|--|----------|--|-----------------|
|                              |                 |   | Code      | Yrs | Mos |  |          |  |                 |
|                              |                 | offices. Includes supporting documentation.   |           |     |     |  |          |  |                 |
| <b>Capital Projects</b>      |                 |   |           |     |     |  |          |  |                 |
| <b>Building Construction</b> |                 |   |           |     |     |  |          |  |                 |
| OFPC1000                     | 1.1.067         | <b>Capital Improvement Project (CIP) Reports</b><br>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. |                 |
| OFPC1322                     | 5.2.002         | <b>Building Construction Project Files</b><br>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.                      | ○        |  |                 |
| OFPC1323                     | 4.7.000         | <b>Fiscal Records for Construction Projects</b>   | AC        | 11  |     | AC=Close of project.<br>The project close date |          |  |                 |

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|------------------------------|-----------------|---|-----------|-----|-----|--|----------|---|-----------------|
|                              |                 |   | Code      | Yrs | Mos |  |          |   |                 |
|                              |                 |   |           |     |     | is based on the fiscal year of the final payment to the contractor.                          |          |   |                 |
| *OFPC1325                    | 5.2.003a        | <b>Building Plans and Specifications</b><br>Includes architectural and engineering drawings, profiles, and blueprints of planning, design, construction, conversion, or modernization of state-owned facilities, structures, infrastructure, and systems. | LA        | 0   |     |  | ○        | *Record series amended on 10/2/23 (UTS RRS 8.3) |                 |
| OFPC1948                     | 5.2.028         | <b>Building Contracts</b><br>Building construction contracts, surety bonds, and inspection records.   | LA        | 10  |     |  | ○        |   |                 |
| <b>Facilities Management</b> |                 |   |           |     |     |  |          |   |                 |
| FAC1721                      | 5.2.019         | <b>Service Orders</b><br>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><br>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. |          |   |                 |

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|-------------------|-----------------|---|-----------|-----|-----|----------------------------|---|-------------------|-----------------|
|                   |                 |   | Code      | Yrs | Mos |                            |   |                   |                 |
| FAC1800           | 5.1.005         | <b>Postage Records</b><br>Records and reports of postage expenses, including postal meter usage.  | FE        | 3   |     |                            |   |                   |                 |
| *FAC1801          | 5.2.012         | <b>Quotes (Supply and Repair Cost Estimates)</b><br>Quotes for minor construction and repair projects and supplies. Includes supporting documentation, as applicable.                   | AC        | 1   |     | AC=Date received.          | *Record series added on 10/2/23 (UTS RRS 8.3) |                   |                 |
| <b>Chancellor</b> |                 |   |           |     |     |                            |   |                   |                 |
| CHA1269           | 3.1.000         | <b>Financial Disclosure and Conflict of Interest Affidavits</b><br>For the Chancellor and Presidents.   | FE        | 3   |     |                            |   |                   |                 |
| CHA2143           | 1.1.013         | <b>Calendars, Appointments, and Itineraries – Chancellor</b><br>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. | ○   |                   |                 |
| CHA2144           | 3.1.019         | <b>Executive Officer Performance - Workplans and Appraisals</b><br>Job evaluations, performance appraisals, or other similar documents used to evaluate the performance of an employee. | FE        | 3   |     |                            |   | 29 CFR 1620.32(c) |                 |

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|--|--------------------|---|-----------|-----|-----|---------------|----------|---------|-----------------|
|  |                    |   | Code      | Yrs | Mos |               |          |         |                 |
| <b>Controller</b>                          |                    |   |           |     |     |               |          |         |                 |
| <b>Accounts Payable/General Accounting</b> |                    |   |           |     |     |               |          |         |                 |
| CON1000                                    | 4.1.001            | <b>Accounts Payable Information</b><br>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><br>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   |     |               |          |         |                 |
| CON1002                                    | 4.8.001            | <b>Banking Records</b><br>Bank statements, credit card statements, cancelled checks, check registers, deposit slips, debit and credit notices, reconciliations, and other banking related records.  | FE        | 3   |     |               |          |         |                 |

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|              |                 |  | Code      | Yrs | Mos |  |   |         |                                     |
| CON1003      | 4.5.010         | <b>Unclaimed Property Reports and Documentation</b><br>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><br>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><br>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><br>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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|                              |                 |   | Code      | Yrs | Mos |  |          |  |                                      |
| CON9999                      | 4.7.008         | <b>IPSI Grant Records</b><br>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.  |                                      |
| <b>Contracts/Procurement</b> |                 |   |           |     |     |  |          |  |                                      |
| CNP1001                      | 5.3.007         | <b>Bid Documentation – Successful and Unsuccessful</b><br>Includes all bid requisitions/authorizations, Requests for Proposals (RFP), Requests for Qualifications (RFQ), invitations to bid or propose, bid specifications, all bids regardless of whether awarded, and bid tabulation/evaluations (scoresheets). | AC        | 7   |     | AC=Date of expiration or termination of the instrument according to its terms or decision not to proceed with the bid.                             |          | NOTE: The Executive Vice Chancellor for Business Affairs (EVCBA) is the owner of contracting record per Regents' Rule 10501, but delegates the maintenance of centralized contracting files to the Office of the Controller (Contracts and Procurement). To ensure compliance with RR 10501, departments must provide all non-transitory contracting records to Contracts and Procurement for inclusion in the central contract administration system. | Texas Government Code, Sec. 441.1855 |

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|              |                 |   | Code      | Yrs | Mos |   |   |                                      |                 |
| CNP1002      | 5.3.007c        | <b>Bid Documentation – Invalid or Withdrawn</b><br>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.                     |   |                                      |                 |
| CNP1003      | 5.1.001         | <b>Contract Administration Files</b><br>Contracts, leases, and agreements include general obligation, land lease, utilities, construction except for buildings (see OFPC1948), and certain employment contracts (see also BOR1965). Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide. | AC        | 7   |     | AC=Expiration or termination of the instrument according to its terms.                      | NOTE: To ensure compliance with RR 10501, departments must provide all non-transitory contracting records to Contracts and Procurement for inclusion in the central contract administration system. See Remarks of CNP1001. | Texas Government Code, Sec. 441.1855 |                 |
| CNP1004      | 5.3.009         | <b>Requests for Information</b><br>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><br>Contract Summaries, Purchase Order   | FE        | 3   |     |   |   |                                      |                 |

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|-----------------------------------|-----------------|---|-----------|-----|-----|---------------|----------|--|-------------------|
|                                   |                 |   | Code      | Yrs | Mos |               |          |  |                   |
|                                   |                 | Summaries, Past Request for Proposal Postings, and the Contract Transparency Report.  |           |     |     |               |          |  |                   |
| <b>Inventory/Asset Management</b> |                 |   |           |     |     |               |          |  |                   |
| CON2000                           | 5.2.006         | <b>Inventory and Property Control Records</b><br>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         | <b>Capital Asset Records</b><br>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   |     |               |          |  |                   |
| <b>Payroll</b>                    |                 |   |           |     |     |               |          |  |                   |
| CON3000                           | 3.2.002         | <b>Payroll Records</b><br>Payroll records and registers documenting employee earnings,  | FE        | 4   |     |               |          | NOTE: Some older payroll records may be retained by Human Resources in the   | 40 TAC 815.106(i) |

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|-----------------------------------|-----------------|--|-----------|-----|-----|--|----------|--|------------------------|
|                                   |                 |  | Code      | Yrs | Mos |  |          |  |                        |
|                                   |                 | 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. |           |     |     |  |          | employee file. Such payroll records are retained until superseded or separation or termination of employment + 5 years.              |                        |
| <b>Reports/Reporting (Fiscal)</b> |                 |  |           |     |     |  |          |  |                        |
| CON1274                           | 4.5.002         | <b>Worksheets for Preparing Fiscal Reports</b>   | FE        | 9   |     |  |          |  |                        |
| CON1278                           | 4.5.003         | <b>Annual Financial Reports</b><br>Annual Financial Report (AFR) required by the General Appropriations Act (100 Day Report).  | PM        |     |     |  | I        | <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><br>Working files and related documentation used to prepare the AFR.  | FE        | 7   |     |  |          |  |                        |
| <b>Taxes</b>                      |                 |  |           |     |     |  |          |  |                        |
| CON4000                           | 3.2.003         | <b>Federal Tax Records</b><br>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) |

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|-----------------------------------|-----------------|--|-----------|-----|-----|--|----------|---|--------------------------------------|
|                                   |                 |  | Code      | Yrs | Mos |  |          |   |                                      |
| CON1273                           | 3.2.003         | <b>Unrelated Business Income Tax (UBIT) Records</b><br>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.  |                                      |
| <b>Travel/Aircraft Operations</b> |                 |  |           |     |     |  |          |   |                                      |
| *TRA1738                          | 5.6.002         | <b>Aircraft Passenger Lists</b><br>List of passengers on an aircraft. Includes passenger manifest (snapshot of flight).  | FE        | 3   |     |  |          | Copies are sent to TxDOT Flight Services annually.<br>*Record series amended on 10/2/23 (UTS RRS 8.3) | Texas Government Code, Sec. 2205.039 |
| *TRA1739                          | 5.6.001a        | <b>Aircraft Flight Logs</b><br>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.<br>*Record series amended on 10/2/23 (UTS RRS 8.3) | Texas Government Code, Sec. 2205.039 |
| <b>Employee Benefits</b>          |                 |  |           |     |     |  |          |   |                                      |
| OEB1304                           | 2.2.011         | <b>Employee Benefits Data Entry Logs</b>   | AC        | 0   |     | AC=When reconciliation confirmed.  |          |   |                                      |
| OEB1307                           | 1.1.000         | <b>Contracted Carrier Correspondence and Reports</b>   | FE        | 7   |     |  |          |   |                                      |
| OEB1309                           | 4.5.002         | <b>Financial Statements</b>  | FE        | 5   |     |  |          |   |                                      |
| OEB1314                           | 3.1.011         | <b>Employee Insurance Records (Including Affordable Care Act and COBRA Records)</b>  | AC        | 6   |     | AC=Termination of coverage.  |          |   |                                      |

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|--------------|-----------------|--|-----------|-----|-----|----------------------------------|--|---------------------|-----------------|
|              |                 |  | Code      | Yrs | Mos |                                  |  |                     |                 |
|              |                 | Includes all employee insurance records.   |           |     |     |                                  |  |                     |                 |
| OEB1316      | 3.3.000         | <b>Insurance Contracts</b><br>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         | <b>Retirement Plan Documents</b>   | US        | 10  |     |                                  | Audit requirements require 10-year retention period. | 29 CFR 1627.3(b)(2) |                 |
| OEB2077      | 3.3.004         | <b>Employee Benefits Plan Information</b>  | US        | 1   |     |                                  |  | 29 CFR 1627.3(b)(2) |                 |
| OEB2078      | 4.1.001         | <b>Benefits Billing Payment Logs</b>   | FE        | 3   |     |                                  |  |                     |                 |
| OEB2079      | 4.1.009         | <b>Accounts Receivable Ledgers</b><br>Ledgers related to employee benefits.  | FE        | 3   |     |                                  |  |                     |                 |
| OEB2080      | 4.5.002         | <b>Worksheets for Preparing Fiscal Reports</b><br>Worksheets related to employee benefit operations.                                       | FE        | 5   |     |                                  |  |                     |                 |
| OEB2081      | 3.2.008         | <b>Direct Deposit Applications or Authorizations</b><br>Direct payment agreements for COBRA and retirees.                                  | US        |     |     |                                  |  |                     |                 |
| OEB2148      | 1.1.065         | <b>Employee Benefits Members Issues</b>  | AC        | 2   |     | AC=Resolution of issue.          |  |                     |                 |
| OEB2149      | 1.3.000         | <b>Employee Insurance and Retirement Employee Reference Materials</b>  | AC        | 0   |     | AC=Until superseded or obsolete. |  |                     |                 |

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|--------------|-----------------|--|-----------|-----|-----|--|--|---------|-----------------|
|              |                 |  | Code      | Yrs | Mos |  |  |         |                 |
| OEB2152      | 3.1.000         | <b>Employee Benefits Mandated Benefits Coordination and Secondary Payee Claims</b>   | AC        | 3   |     | AC=Resolution of claim.  |  |         |                 |
| OEB2153      | 3.1.000         | <b>Retirement Loan and Deferred Compensation Plan Information</b>  | AC        | 10  |     | AC=After loan has been paid.   |  |         |                 |
| 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><br>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>   | AC        | 7   |     | AC=Resolution of claim.  | *Record series amended 10/5/22 (UTS RRS 8.2)   |         |                 |
| 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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|--|--------------------|--|-----------|-----|-----|--|----------|---|---------------------|
|  |                    |  | Code      | Yrs | Mos |  |          |   |                     |
| OEB3000  | 3.1.011            | <b>UTGRA Records</b><br>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) |
| <b>External Relations, Communications, and Advancement</b> |                    |  |           |     |     |  |          |   |                     |
| <b>Gifts</b>   |                    |  |           |     |     |  |          |   |                     |
| GPS1574  | 13.2.005           | <b>Gift Records – Active</b><br>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           | <b>Estates or Assets Held in Trust by Others</b>   | AC        | 10  |     | AC=Close of estate or trust.                         | I        |   |                     |
| GPS1576  | 13.2.003           | <b>Endowments - Term</b>   | AC        | 7   |     | AC=Endowment funds have been completely transferred. | I        |   |                     |
| GPS1577  | 13.2.005           | <b>Endowments – Perpetual</b>  | PM        |     |     |  | I        | Archival code added per 13 TAC Sec. 6.10(b), but records will   |                     |

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|--------------|-----------------|--|-----------|-----|-----|---|------------------------------------|--|-----------------|
|              |                 |  | Code      | Yrs | Mos |   |                                    |  |                 |
|              |                 |  |           |     |     |   | remain at UT System in perpetuity. |  |                 |
| GPS1578      | 13.2.003        | <b>Charitable Trusts/Pooled Income Fund/Remainder Interests in Life Estates</b>  | AC        | 7   |     | AC=Close of estate or trust.  | I                                  |  |                 |
| GPS1583      | 13.2.000        | <b>Proposed, Contingent and Revocable Files</b>  | AC        | 3   |     | AC=After determination of gift status.  |                                    |  |                 |
| GPS1753      | 4.1.000         | <b>Federal Tax Records</b><br>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><br>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><br>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.   |                 |

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|-----------------------|-----------------|--|-----------|-----|-----|--|----------|------------------------------------|-----------------|
|                       |                 |  | Code      | Yrs | Mos |  |          |                                    |                 |
| GPS2004               | 4.8.001         | <b>Banking Records</b><br>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        |                                    |                 |
| <b>Special Events</b> |                 |  |           |     |     |  |          |                                    |                 |
| SPE1555               | 11.1.007        | <b>Official Occasion Records</b><br>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        |                                    |                 |
| <b>Finance</b>        |                 |  |           |     |     |  |          |                                    |                 |
| FIN1002               | 4.8.001         | <b>Banking Records</b><br>Bank statements listing account balances.  | FE        | 3   |     |  |          |                                    |                 |
| FIN2025               | 4.7.010         | <b>Long-Term Liability Records</b><br>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   | 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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|------------------------|-----------------|--|-----------|-----|-----|----------------------------|----------|--|-----------------|
|                        |                 |  | Code      | Yrs | Mos |                            |          |  |                 |
|                        |                 | liabilities, bonds, and pension obligations.   |           |     |     |                            |          |  |                 |
| <b>General Counsel</b> |                 |  |           |     |     |                            |          |  |                 |
| OGC1864                | 1.1.000         | <b>Legal Files – Long-Term Value</b><br>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        |     |     |                            | ○        | <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.<br><br><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><br>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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|              |                 |   | Code      | Yrs | Mos |  |          |   |                 |
| OGC1862      | 1.1.048         | <b>Litigation Files – Health Law</b><br>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><br>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  |          |   | 35 USC Sec. 154 |

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|--------------|-----------------|---|-----------|-----|-----|--|----------|--|-------------------------------------|
|              |                 |   | Code      | Yrs | Mos |  |          |  |                                     |
|              |                 |   |           |     |     | on when patent is issued).                         |          |  |                                     |
| *OGC2115     | 4.7.005         | <b>Claims &amp; Bankruptcy Files (Nonlitigation)</b>  | AC        | 5   |     | AC=Resolution of claim.                            |          | *Record series amended 10/20/22. Inactive record series. To be removed from schedule after all existing boxes have been dispositioned. |                                     |
| OGC2118      | 1.1.020         | <b>Public Information Requests - Not Excepted</b><br>Includes all correspondence and documentation relating to requests for records that are furnished to the public under the Public Information Act (Chapter 552, Texas Government Code). Also includes withdrawn requests.                 | AC        | 2   |     | AC=After request has been satisfied or withdrawn.  |          |  |                                     |
| OGC2119      | 1.1.021         | <b>Public Information Requests - Excepted</b><br>Includes all correspondence and documentation relating to requests for records that are excepted under the Public Information Act (Chapter 552, Texas Government Code), including records provided to the legislature under section 552.008. | AC        | 2   |     | AC=Date of notification that records are excepted. |          |  |                                     |
| OGC2120      | 1.1.072         | <b>Public Information Reports</b><br>Reports made to the Office of Attorney General (OAG) on an agency's Public Information Act activities.   | AC        | 2   |     | AC=Date of submission to OAG.                      |          |  | Texas Government Code, Sec. 552.010 |

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|                               |                 |  | Code      | Yrs | Mos |   |          |   |                   |
| OGC2141                       | 1.1.000         | <b>Professional Liability Enrollment, Changes, and Resignation</b>   | AC        | 20  |     | AC=Date of enrollment.                                    |          |   |                   |
| <b>Governmental Relations</b> |                 |  |           |     |     |   |          |   |                   |
| OGR1332                       | 1.1.027         | <b>Proposed Legislation</b><br>Drafts of proposed legislation and related correspondence.  | AC        | 1   |     | AC=End of current legislative session (typically May 31). |          |   |                   |
| <b>Health Affairs</b>         |                 |  |           |     |     |   |          |   |                   |
| HEA1344                       | 1.1.000         | <b>Meeting Agenda and Minutes - Council of Health Institutions</b>   | AC        | 10  |     | AC=When agenda and minutes and finalized.                 |          | <b>NOTE:</b> 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><br>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><br>Employment communications, assessments, compensation, and corrective or disciplinary actions.  | AC        | 5   |     | AC=Termination of employment.                             |          |   |                   |

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|-----------------------------|--------------------|---|-----------|-----|-----|--|----------|--|-----------------|
|                             |                    |   | Code      | Yrs | Mos |  |          |  |                 |
| <b>HUB Programs</b>         |                    |   |           |     |     |  |          |  |                 |
| HUB1261                     | 1.1.066            | <b>Reports - Biennial or Annual Agency (Narrative)</b><br>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. |                 |
| <b>Information Security</b> |                    |   |           |     |     |  |          |  |                 |
| ISO1000                     | 2.2.001            | <b>System Monitoring Records</b><br>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 needs not be documented.   |                 |

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|----------------------------------|-----------------|---|-----------|-----|-----|-------------------------------------|--|-------------------------------|-----------------|
|                                  |                 |   | Code      | Yrs | Mos |                                     |  |                               |                 |
| ISO1001                          | 2.2.018         | <b>Biennial Information Security Plan</b><br>Biennial information security plan for protecting the security of the agency's information.  | US        | 2   |     |                                     |  | 1 TAC 202.23;<br>1 TAC 202.73 |                 |
| <b>Police</b>                    |                 |   |           |     |     |                                     |  |                               |                 |
| <b>Police Academy Records</b>    |                 |   |           |     |     |                                     |  |                               |                 |
| POL1542                          | 1.1.000         | <b>Post Academy Training Files</b>  | US        | 5   |     |                                     | Texas Commission on Law Enforcement requires that ODOP maintain these records. | 37 TAC Chapter 215            |                 |
| POL1765                          | 1.1.000         | <b>User Identification Information Sheets</b>   | US        | 0   |     |                                     |  |                               |                 |
| POL1949                          | 1.1.000         | <b>Training Materials - Academy Training</b>  | AC        | 5   |     | AC=After graduation of cadet class. | Texas Commission on Law Enforcement recommends keeping indefinitely.           | 37 TAC Chapter 215            |                 |
| POL1950                          | 1.1.000         | <b>Training Materials - Police Basic Training</b>   | AC        | 50  |     | AC=End of training.                 | Retained as a record of instructor and subject matter for each academy class.  |                               |                 |
| <b>Officer Personnel Records</b> |                 |   |           |     |     |                                     |  |                               |                 |
| POL1761                          | 3.3.027         | <b>Aptitude and Skills Tests</b><br>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                |                 |

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|------------------------------|-----------------|--|-----------|-----|-----|--|---|--|-----------------|
|                              |                 |  | Code      | Yrs | Mos |  |   |  |                 |
| POL1528                      | 3.3.028         | <b>Aptitude and Skills Tests (Test Papers)</b><br>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                                   |                 |
| POL1766                      | 3.1.026         | <b>Criminal History Checks</b><br>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.               |  |                 |
| <b>Public Safety Records</b> |                 |  |           |     |     |  |   |  |                 |
| POL1531                      | 5.4.011         | <b>Visitor Control Registers</b><br>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><br>Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to                                  | 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. |  |                 |

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|---|-----------------|--|-----------|-----|-----|--------------------------------------|----------|--|-----------------|
|   |                 |  | Code      | Yrs | Mos |                                      |          |  |                 |
|   |                 | agency or state facilities, equipment, or automated systems.   |           |     |     |                                      |          |  |                 |
| 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><br>Includes related correspondence.   | AC        | 3   |     | AC=End of fiscal year of resolution. |          |  |                 |
| POL1770                                     | 5.2.006         | <b>Property Logs and Cards for Lost and Found Property</b>   | FE        | 3   |     |                                      |          |  |                 |
| POL2000                                     | 5.1.018         | <b>Surveillance Video</b><br>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 needs not be documented. |                 |
| <b>Administrative and Reporting Records</b> |                 |  |           |     |     |                                      |          |  |                 |
| POL1529                                     | 5.6.005         | <b>Vehicle Use Reports</b><br>Includes mileage, fuel/oil consumption, passengers carried and other related operational information.  | FE        | 3   |     |                                      |          |  |                 |
| POL1951                                     | 1.1.063         | <b>Meeting Notes - Component Institution Police Chiefs</b>   | FE        | 10  |     |                                      |          |  |                 |
| POL1952                                     | 1.1.067         | <b>Reports and Studies (Non-Fiscal)</b><br>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 | PM        |     |     |                                      | ○        |  |                 |

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|------------------------|-----------------|---|-----------|-----|-----|--|----------|---------|--------------------------------------|
|                        |                 |   | Code      | Yrs | Mos |  |          |         |                                      |
|                        |                 | 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.            |           |     |     |  |          |         |                                      |
| POL2003                | 1.1.067         | <b>Reports - Annual Inspections of Component Institutions</b>   | CE        | 10  |     |  | ○        |         |                                      |
| <b>Real Estate</b>     |                 |   |           |     |     |  |          |         |                                      |
| REA1212                | 1.1.000         | <b>Real Estate Closing Papers</b>   | PM        |     |     |  |          |         |                                      |
| 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 |
| <b>Risk Management</b> |                 |   |           |     |     |  |          |         |                                      |
| <b>General</b>         |                 |   |           |     |     |  |          |         |                                      |
| ORM1000                | 1.1.067         | <b>Risk Management Annual Report</b>  | AC        | 10  |     | AC=Date of report.   | ○        |         |                                      |
| ORM1001                | 3.2.007         | <b>Unemployment Compensation Records</b><br>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>   | FE        | 3   |     |  |          |         |                                      |

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|---------------------|-----------------|---|-----------|-----|-----|---------------------------------------|--|--|-----------------------------------|
|                     |                 |   | Code      | Yrs | Mos |                                       |  |  |                                   |
|                     |                 | Includes monthly premium transfers, vouchers, billing detail, and similar accounting records.   |           |     |     |                                       |  |  |                                   |
| ORM1003             | 4.5.002         | <b>Annual Financial Statements</b>  | FE        | 30  |     |                                       | Annual statements must be kept to compile statistical information. |  |                                   |
| <b>Risk Control</b> |                 |   |           |     |     |                                       |  |  |                                   |
| RC1000              | 3.1.000         | <b>Driver Training Records and Checks</b><br>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><br>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><br>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>   | US        | 0   |     |                                       |  |  |                                   |

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|--------------|-----------------|---|-----------|-----|-----|---|----------|---|-----------------|
|              |                 |   | Code      | Yrs | Mos |   |          |   |                 |
|              |                 | Plans for evacuation of agency facilities in cases of emergency.  |           |     |     |   |          |   |                 |
| RC1642       | 5.4.007         | <b>Hazardous Material Training Records</b><br>Records of training given to employees in an agency hazard communications program. May include but is not limited to date of class, roster of attendees, subjects covered, and instructors.                                 | AC        | 5   |     | AC=Date of training.  |          | Texas Health and Safety Code, Sec. 502.009(g)   |                 |
| RC1639       | 5.4.003         | <b>Inspection Records</b><br>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 OFPC1948. |                 |
| RC1732       | 1.1.069         | <b>Project Safety Reports</b><br>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><br>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.   |          |   |                 |

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|--|-----------------|---|-----------|-----|-----|---|----------|---|--------------------------------------|
|  |                 |   | Code      | Yrs | Mos |   |          |   |                                      |
| RC1699                                 | 4.7.005         | <b>Systemwide Insurance Claim Files</b><br>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.   |          |   |                                      |
| <b>Risk Finance</b>                    |                 |   |           |     |     |   |          |   |                                      |
| RF1697                                 | 5.1.013         | <b>Systemwide Insurance Policies</b><br>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><br>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 |
| <b>Workers' Compensation Insurance</b> |                 |   |           |     |     |   |          |   |                                      |
| RWC1707                                | 5.4.001         | <b>Accident Reports and Associated Documentation</b><br>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)      |

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|   |                 |  | Code      | Yrs | Mos |   |          |  |                  |
| RWC1708                                     | 4.7.005         | <b>Claim Files – Workers' Compensation</b><br>Claim files used to administer benefits.   | AC        | 50  |     | AC=Resolution of claim.   |          |  |                  |
| <b>Systemwide Compliance</b>                |                 |  |           |     |     |   |          |  |                  |
| <b>Compliance (General)</b>                 |                 |  |           |     |     |   |          |  |                  |
| SWC1649                                     | 5.4.000         | <b>Risk Assessment and Monitoring Plans</b>  | US        | 5   |     |   |          |  |                  |
| SWC2000                                     | 1.1.006         | <b>Complaint Investigation Records</b><br>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. |          | CAUTION: 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><br>Requests and authorizations for secondary employment or outside activities, including volunteer service.   | AC        | 2   |     | AC=Date superseded, obsolete, or date of separation, as applicable.                             |          |  |                  |
| <b>Records &amp; Information Management</b> |                 |  |           |     |     |   |          |  |                  |
| RIM1944                                     | 1.2.010         | <b>Records Disposition Requests and Logs</b><br>Records disposition request forms submitted by departments and master records disposition log of records destroyed or transferred to archives. | FE        | 10  |     |   |          | FE=The end of fiscal year in which the records were disposed.<br><br>Records Management Officer maintains master records of final disposition. | 13 TAC 6.8(b)(3) |
| RIM2044                                     | 1.2.012         | <b>Records Inventories</b><br>Worksheets or working papers used to capture records inventory information,  | AC        | 0   |     | AC=Date superseded or discontinued.   |          | Inventories may be held either at the departmental level (by Records Management  |                  |

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|                              |                 |   | Code      | Yrs | Mos |   |          |  |                 |
|                              |                 | including location tracking and to document existence and requirements of a records series.   |           |     |     |   |          | Coordinators) or agency level (by the Records Management Officer).   |                 |
| RIM2121                      | 1.2.005         | <b>Records Retention Schedule (SLR 105) and Development Files</b><br>Includes records retention schedules and working files. Working files document the development, revision, approval, and certification of the schedule.   | AC        | 0   |     | AC=As long as administratively valuable after superseded. |          | Original retention schedules are retained by the State and Local Records Management Division, Texas State Library and Archives Commission. |                 |
| RIM2123                      | 1.2.000         | <b>Records Management Program Compliance Records</b><br>Files demonstrating departmental and program compliance with state rules and agency policies for records and information management.  | FE        | 10  |     |   |          |  |                 |
| <b>Talent and Innovation</b> |                 |   |           |     |     |   |          |  |                 |
| <b>Human Resources</b>       |                 |   |           |     |     |   |          |  |                 |
| HR1000                       | 3.1.000         | <b>Recruitment File</b><br>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   |     |   |          |  |                 |

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|--------------|-----------------|--|-----------|-----|-----|---|----------|--|---|
|              |                 |  | Code      | Yrs | Mos |   |          |  |   |
| HR1001       | 3.1.000         | <b>Individual Personnel Files</b><br>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), performance management documents, employee data change forms, separation documents, and signed acknowledgement forms. | AC        | 5   |     | AC=Until superseded or separation or termination of employment. |          | Convenience copies of personnel information held by a department should be retained in accordance with ALL2203.      | 29 CFR 1620.32(c)   |
| HR1003       | 3.3.001a        | <b>Affirmative Action Plans</b>  | FE        | 5   |     |   |          |  | 29 CFR 30.8(e) for apprenticeship records                                       |
| *HR1004      | 3.4.006         | <b>Time and Attendance Records</b><br>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. May also include FMLA, LWOP, and other leave records maintained by HR.   | FE        | 4   |     |   |          | *Record series amended 10/5/22<br><br>For leave requests/authorizations maintained only by supervisors, see ALL2203. | Texas Government Code, Section 661.152(d); 40 TAC 815.106(i); 29 CFR 825.500(b) |

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|--------------|-----------------|--|-----------|-----|-----|---|----------|--|-------------------------------------|
|              |                 |  | Code      | Yrs | Mos |   |          |  |                                     |
| HR1005       | 3.3.011         | <b>Former Employee Verification Records</b><br>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><br>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><br>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 |
| 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>   | AC        | 75  |     | AC=Until superseded or separation or  |          |  |                                     |

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|--------------|-----------------|--|-----------|-----|-----|---|----------|--|-----------------|
|              |                 |  | Code      | Yrs | Mos |   |          |  |                 |
|              |                 | 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.   |           |     |     | termination of employment.                |          |  |                 |
| HR1010       | 3.1.011         | <b>Employee Insurance Records - Retired and Deceased Employees</b><br>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. |          |  |                 |
| HR1011       | 3.3.000         | <b>Personnel Administration and Compensation Reports</b><br>Any reports compiled in the administration of the System workforce. Includes, but is not limited to, EEO reports/supporting  | FE        | 3   |     |   |          | NOTE: Office of Risk Management is the record owner of Texas Workforce Commission (TWC) reports. |                 |

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|--|-----------------|--|-----------|-----|-----|--|----------|---------|-----------------|
|  |                 |  | Code      | Yrs | Mos |  |          |         |                 |
|  |                 | documentation and job classification review files.   |           |     |     |  |          |         |                 |
| <b>Innovation</b>                            |                 |  |           |     |     |  |          |         |                 |
| INN1000                                      | 4.1.006         | <b>Investment Records</b><br>Signed Horizon Fund agreements and related documentation.   | AC        | 20  |     | AC=Expiration or termination of agreement. |          |         |                 |
| <b>Technology &amp; Information Services</b> |                 |  |           |     |     |  |          |         |                 |
| OTIS1000                                     | 2.2.017         | <b>Help Desk Tickets</b><br>Records documenting requests for technical assistance and related correspondence.  | AV        | 0   |     |  |          |         |                 |
| OTIS1507                                     | 1.1.000         | <b>Information Technology Project and Systems Documentation</b><br>Project management records, design documentation, feasibility studies, justifications, user requirements, etc.  | AV        | 0   |     |  |          |         |                 |
| OTIS1509                                     | 5.5.002         | <b>Telephone Activity Reports</b><br>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   |     |  |          |         |                 |

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|              |                 |  | Code      | Yrs | Mos |   |          |   |                 |
| OTIS1518     | 2.1.008         | <b>Hardware Documentation</b><br>Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, equipment control systems, and associated processing files.   | AC        | 0   |     | 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 that requires hardware to be retrieved and read. |          | CAUTION: Software needed for access to electronic must be retained for the period of time required to access the records. | 13 TAC 6.94     |
| OTIS1525     | 5.4.012         | <b>Security Access Records</b><br>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><br>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 | AV        | 0   |     |   |          | The disposal of monitoring records that are automatically overwritten needs not be documented.                            |                 |

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|---|-----------------|---|-----------|-----|-----|---|----------|--|-----------------|
|   |                 |   | Code      | Yrs | Mos |   |          |  |                 |
|   |                 | logs, and related records. May also include records reporting on the levels and patterns of usage of system hardware, software application, or internet resources.  |           |     |     |   |          |  |                 |
| OTIS2128  | 2.1.007         | <b>Software Programs</b><br>Internally developed automated software applications, operating system files, and associated processing files, including job control language, programs, applications, scripts, source code, etc. | 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. |          | <b>CAUTION:</b> Software needed for access to electronic records must be retained for the period of time required to access the records. | 13 TAC 6.94     |
| OTIS2141  | 5.2.008         | <b>Equipment History</b><br>Equipment history file, which may include logbooks and requests for installation, moves, service, repair, etc.  | LA        | 7   |     |   |          |  |                 |
| <b>Texas Medical &amp; Dental Schools Application Service (TMDSAS)/Joint Admission Medical Program (JAMP)</b> |                 |   |           |     |     |   |          |  |                 |
| MED1000   | 17.1.000        | <b>JAMP Council Agreements with Participating Schools</b>   | AC        | 7   |     | AC=Expiration or termination of the agreement.  |          | Agreements must be renewed every four years.   | Texas Education |

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|--------------|-----------------|---|-----------|-----|-----|--|----------|---|-----------------------------------|
|              |                 |   | Code      | Yrs | Mos |  |          |   |                                   |
|              |                 | 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.                    |           |     |     |  |          |   | 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.   |                                   |
| *MED1007     | 1.1.061         | <b>JAMP Council Meetings – Notes</b><br>Notes taken during the meetings from which written minutes are prepared.  | AC        |     | 3   | AC=Approval of written minutes of the meeting by the JAMP Council. |          | *Record series added on UTS RRS 8.3 (10/2/23)   |                                   |
| MED1002      | 1.1.026         | <b>JAMP Council Meetings – Open Meeting Notices</b>   | AC        | 1   |     | AC=Date of publication in the Texas Register.                      |          |   |                                   |
| MED1003      | 1.1.060         | <b>JAMP Council Meetings – Recordings</b><br>Audiovisual recordings of open meetings.   | AC        | 0   | 3   | AC=Approval of written minutes of the meeting by the JAMP Council. |          | <b>CAUTION:</b> If no minutes are prepared, the recordings must be retained permanently in accordance with MED1001.   |                                   |
| MED1004      | 1.1.066         | <b>JAMP Council Reports</b><br>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.                     |          | <b>ARCHIVES NOTE:</b> 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 | Texas Education Code, Sec. 51.834 |

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|--------------|-----------------|---|-----------|-----|-----|--|--|---|-----------------------------------|
|              |                 |   | Code      | Yrs | Mos |  |  |   |                                   |
|              |                 |   |           |     |     |  | documentation used in creating the final report may be destroyed of at the expiration of the retention period. |   |                                   |
| MED1005      | 1.3.001         | <b>Media</b><br>Podcasts, videos, and similar audiovisual recordings produced for public distribution.  | AC        | 2   |     | AC=Until discontinued and no longer administratively valuable. | ○  | <b>CAUTION:</b> Media files must be saved in a location that is under UT System control, per 13 TAC 6.94. |                                   |
| MED1006      | 1.3.002         | <b>Media Production Files</b><br>Images, sound clips, or other design elements used in the production of media recordings.  | AV        | 0   |     |  | ○  |   |                                   |
| MED1460      | 15.1.000        | <b>JAMP Student Applications and Student Agreements</b><br>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>TMSAS Student Applications</b><br>Applications submitted to the Texas Medical & Dental Schools Application Service and all supporting documentation.   | AC        | 10  |     | AC=End of application cycle.                                   |  |   |                                   |

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|-------------------------|--------------------|---|-----------|-----|-----|---|----------|---------|--------------------------------------|
|                         |                    |   | Code      | Yrs | Mos |   |          |         |                                      |
| <b>University Lands</b> |                    |   |           |     |     |   |          |         |                                      |
| <b>Accounting</b>       |                    |   |           |     |     |   |          |         |                                      |
| ULA1001                 | 5.1.010            | <b>Commingling 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><br>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><br>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  |     |   |          |         |                                      |
| 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 |

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|-----------------------------|-----------------|---|-----------|-----|------------------|---------------|--|---------|-----------------|
|                             |                 |   | Code      | Yrs | Mos              |               |  |         |                 |
| ULA1013                     | 1.1.000         | <b>Unplugged Well Report</b>  | US        | 0   |                  |               |  |         |                 |
| ULA1014                     | 1.1.069         | <b>Weekly Letter</b><br>Report provided to university departments detailing oil and gas resources and compliance.   | PM        |     |                  |               |  |         |                 |
| ULA1015                     | 1.1.000         | <b>Well Record History</b><br>Master history record; includes information found in ULA1016 and ULA1017.   | PM        |     |                  |               |  |         |                 |
| ULA1016                     | 1.1.000         | <b>Well Records (Plat Books)</b>  | AV        | 0   |                  | I             | Historical value only; no longer used. |         |                 |
| ULA1017                     | 1.1.000         | <b>Well Tickets</b><br>Historical information used for exploration and development of oil and gas resources.  | AV        | 0   |                  |               |  |         |                 |
| <b>Budget &amp; Revenue</b> |                 |   |           |     |                  |               |  |         |                 |
| ULB1001                     | 4.1.009         | <b>Accounts Receivable Ledgers</b><br>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><br>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. |               |  |         |                 |
| ULB1005                     | 4.5.000         | <b>FAWP (Funds for Agriculture and Wildlife Projects) Applications</b>  | FE        | 3   |                  |               |  |         |                 |

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|--------------------|-----------------|--|-----------|-----|-----|------------------|----------|---|-----------------|
|                    |                 |  | Code      | Yrs | Mos |                  |          |   |                 |
| ULB1006            | 4.5.000         | <b>FAWP (Funds for Agriculture and Wildlife Projects) Applications—Summary</b>   | AC        | 20  |     | AC=Date created. |          |   |                 |
| ULB1007            | 4.5.000         | <b>Grazing Lease – Animal Unit Reports</b>   | AC        | 30  |     | AC=Date created. |          |   |                 |
| ULB1008            | 4.1.009         | <b>Grazing Lessees’ Livestock Change Forms</b><br>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         | <b>Grazing Lessees’ Payment Calculations</b>   | AC        | 10  |     | AC=Date created. |          |   |                 |
| ULB1010            | 5.1.012         | <b>Livestock Market Prices</b><br>Information used to calculate the per-animal-unit amount.  | AC        | 10  |     | AC=Date created. |          |   |                 |
| *ULB1011           | 4.1.001         | <b>Purchasing Journal Vouchers</b>   | FE        | 3   |     |                  |          | *Record series amended on 10/2/23 (UTS RRS 8.3) |                 |
| ULB1012            | 4.1.000         | <b>Refund Vouchers – ULAO Copy</b>   | FE        | 10  |     |                  |          |   |                 |
| ULB1013            | 4.1.000         | <b>Surface Ledgers (Brine, Saltwater, Disposal, Grazing, Surface, and Water)</b>   | FE        | 10  |     |                  |          |   |                 |
| ULB1014            | 4.5.002         | <b>Variance Report</b>   | FE        | 10  |     |                  |          |   |                 |
| ULB1015            | 5.6.005         | <b>Vehicle Use Reports</b><br>Includes mileage, fuel/oil consumption, passengers carried and other related operational information.  | FE        | 3   |     |                  |          |   |                 |
| <b>Engineering</b> |                 |  |           |     |     |                  |          |   |                 |
| ULE1001            | 1.1.000         | <b>Technical Well Files</b>  | PM        |     |     |                  |          |   |                 |

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|-------------------------------|-----------------|--|-----------|-----|-----|---|--|----------------------------------|-----------------|
|                               |                 |  | Code      | Yrs | Mos |   |  |                                  |                 |
| <b>Geology</b>                |                 |  |           |     |     |   |  |                                  |                 |
| ULG1001                       | 1.1.000         | <b>Electric Logs</b>   | PM        |     |     |   |  |                                  |                 |
| ULG1002                       | 1.1.000         | <b>Geophysical Contour Maps</b><br>Source for evaluating acreage for oil and gas leases. | AV        | 0   |     |   |  |                                  |                 |
| <b>Information Technology</b> |                 |  |           |     |     |   |  |                                  |                 |
| ULT1001                       | 5.1.000         | <b>Lease Maps</b><br>Used for exploration and compliance.                                | US        | 0   |     |   | Maps are paper and Mylar film.   | Texas Education Code, Sec. 66.77 |                 |
| ULT1002                       | 5.1.000         | <b>Maps of University Lands</b><br>Project files used to create hard copy maps.          | LA        | 0   |     |   | Necessary for historical value.  | Texas Education Code, Sec. 66.77 |                 |
| ULT1003                       | 2.1.007         | <b>Software Programs</b>   | 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. | <b>CAUTION:</b> Software needed for access to electronic records must be retained for the period of time required to access the records. | 13 TAC 6.94                      |                 |

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|---------------------|--------------------|--|-----------|-----|-----|---------------------------|----------|---------------------------|--------------------------------------|
|                     |                    |  | Code      | Yrs | Mos |                           |          |                           |                                      |
| <b>Land</b>         |                    |  |           |     |     |                           |          |                           |                                      |
| ULL1001             | 5.1.001            | <b>Gas and Oil Contracts</b><br>Contracts governing operator's sale of oil or gas.   | PM        |     |     |                           |          |                           | Texas Government Code, Sec. 441.1855 |
| ULL1002             | 5.1.001            | <b>Lease Agreements, Unit Agreements, and Assignments</b>  | PM        |     |     |                           |          |                           | Texas Government Code, Sec. 441.1855 |
| ULL1003             | 5.1.001            | <b>Lease Assignment Briefs</b>   | PM        |     |     |                           |          |                           |                                      |
| ULL1004             | 5.1.000            | <b>Lease Sale Information</b>  | AV        | 0   |     |                           |          |                           |                                      |
| ULL1005             | 5.1.000            | <b>Lease Sale Nominations Information</b><br>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><br>Historical reference data of oil and gas leasing.   | PM        |     |     |                           |          |                           |                                      |
| ULL1007             | 1.1.000            | <b>Pugh Clause Data – Development Compliance</b><br>Information used for exploration and development of oil and gas resources.                 | AV        | 0   |     |                           |          |                           |                                      |
| <b>Right of Way</b> |                    |  |           |     |     |                           |          |                           |                                      |
| 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        |     |     |                           |          |                           |                                      |

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# The University of Texas System Records Retention Schedule

## Version 8.3 | Effective October 2, 2023

| UTS ID (AIN)   | State ID (RSIN) | Record Series Title Description  | Retention |     |     | AC Definition  | Archival  | Remarks                              | Legal Citations |
|----------------|-----------------|--|-----------|-----|-----|--|---|--------------------------------------|-----------------|
|                |                 |  | Code      | Yrs | Mos |  |   |                                      |                 |
| ULR1003        | 4.7.000         | <b>Easements on U. T. Lands</b>  | PM        |     |     |  |   |                                      |                 |
| ULR1004        | 5.2.000         | <b>Rate and Damage Schedules</b><br>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. |                                      |                 |
| <b>Surface</b> |                 |  |           |     |     |  |   |                                      |                 |
| ULS1001        | 1.1.000         | <b>Geophysical Survey Permits and Supporting Documents</b><br>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><br>Used for yearly trend analysis.   | AC        | 30  |     | AC=Date created.   | Midland record is sole record.                                    |                                      |                 |

### Retention Codes:

AC = After Closed; see AC Definition | AV = As long as Administratively Valuable  
 CE = Calendar Year End | FE = Fiscal Year End  
 LA = Life of Asset | PM = Permanent | US = Until Superseded

### Archival Codes:

I=Transfer to Archives  
 O=Archivist Review Required



## 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  |
|-----------|--|
| <b>AC</b> | <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. |
| <b>AV</b> | <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.         |
| <b>CE</b> | <b>Calendar Year End:</b> December 31 of the year in which the record was created.   |
| <b>FE</b> | <b>Fiscal Year End:</b> August 31 of the fiscal year in which the record was created.  |
| <b>LA</b> | <b>Life of Asset:</b> The disposal date of the asset.  |
| <b>PM</b> | <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.   |
| <b>US</b> | <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   |
|----------|---|
| <b>I</b> | The record must be transferred to the UT System Archives at the Briscoe Center for American History, UT Austin, when retention is met.  |
| <b>O</b> | 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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## 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       |



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## References & Resources

- State of Texas Retention Schedules** [State of Texas Records Retention Schedule \(State RRS\)](#)  
[State of Texas University Records Retention Schedule \(State URRS\)](#)
- Relevant Federal and State Statutes** [Texas Government Code Chapter 441](#)  
[Texas Administrative Code, Title 13, Chapter 6](#)
- System Policies & Procedures** [UTS 115 Records and Information Management Handbook of Operating Procedures 4.1.6 Records & Information Management Records & Information Management on SharePoint](#)
- Records Management Tools** [Records Management Forms & Templates](#)  
[Request to Dispose of Records](#)
- Records Management Assistance** [Contact the UTS Records Management Officer](#)

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

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