

# UTHSCSA ARCHIVAL RECORDS

Record Series Item Number	Agency Item Number/ Department	RECORDS SERIES TITLE	Retention Period	Security	Archival	Vital	Remarks
<b>Administrative Records - General</b>							
1.1	190 AA, DN, DE	Accreditation Records. This records series documents the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self study report by institution, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US+5	O	O	X	VP Acad Administration handles accreditation for entire institution. Deans handle accreditation for their school, except for the Dean of the School of Health Professions. Each Health Professions department is responsible for its own accreditation. Academic Informatics Services keeps records for courses and materials they have developed that have been accredited by various associations. SEE ALSO: Accreditation Records - Residency Programs (Section 1.1 number 489). ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention.
1.1	221 PR, DE	Reports and Studies - Special Activity. This series documents the activities of a University department. Examples may include the completion of surveys and questionnaires, compilation of special studies for professional or academic associations, and special mailings. This series may include but is not limited to: arrangements documentation; working papers; questionnaires; survey forms; study designs; reports; and related documentation and correspondence.	10	O	O		ARCHIVES NOTE: Review for historical information and transfer any historical information to the University Archives for permanent retention.

**RETENTION CODES**

- |   |                              |
|---|------------------------------|
| <b>AC</b> - After Closed, Terminated, Completed, Expired, Settled | <b>FE</b> - Fiscal Year End  |
| <b>AR</b> - Annual Review   | <b>LA</b> - Life of Asset    |
| <b>AV</b> - Admin Value   | <b>MO</b> - Months           |
| <b>CE</b> - Calendar Year End                                     | <b>PM</b> - Permanent        |
|   | <b>US</b> - Until Superseded |

**ARCHIVAL CODES**

- I** - Records must be transferred to University Archives
- O** - Records should be appraised for archival or historical value before destruction. Records found to have historical value should be transferred to the University Archives.

**SECURITY CODES**

- O** - Open Record
- C** - Confidential

**VITAL CODE**

- X** - Record Series is considered vital to ongoing agency business. Records identified as vital are to be safeguarded by routine maintenance of off-site backup.

# UTHSCSA ARCHIVAL RECORDS

Record Series Item Number	Agency Item Number/ Department	RECORDS SERIES TITLE	Retention Period	Security	Archival	Vital	Remarks
1.1	344 DV, DE	Gift Records or Donor Files. This series documents potential or realized private, corporate, or public agency funding to the institution, including endowments, gifts, donor records and trusts. This series may include but is not limited to: award guidelines; letters and agreements of gifts; amounts of donations received; names of donors; conditions placed on donations; copies of bequest instruments and wills from individuals or estates; gift / pledge transmittal forms; solicitation material; acknowledgement letters; copies of checks or securities documents; financial statements and reports, including records of fund disbursements; and related documentation and correspondence.	PM	O	I	X	Security is open with restrictions. SEE ALSO record 9.1 # 653 - Scholarships Awarded by Departments / Program Records.
1.1	562 OST	Invention Report Forms and/or any other related documents used to disclose an invention.	AC+7	C	I	X	AC = After commercialization efforts for the invention disclosed have been concluded, or rights to the invention have been released to the inventor/s and all outstanding obligations under the release have been satisfied, or invention has been declared uncommercializable or otherwise unsuitable for continued processing. Mandatory backup of documents at off-site location.

**RETENTION CODES**

- |   |                              |
|---|------------------------------|
| <b>AC</b> - After Closed, Terminated, Completed, Expired, Settled | <b>FE</b> - Fiscal Year End  |
| <b>AR</b> - Annual Review   | <b>LA</b> - Life of Asset    |
| <b>AV</b> - Admin Value   | <b>MO</b> - Months           |
| <b>CE</b> - Calendar Year End                                     | <b>PM</b> - Permanent        |
|   | <b>US</b> - Until Superseded |

**ARCHIVAL CODES**

- I** - Records must be transferred to University Archives
- O** - Records should be appraised for archival or historical value before destruction. Records found to have historical value should be transferred to the University Archives.

**SECURITY CODES**

- O** - Open Record
- C** - Confidential

**VITAL CODE**

- X** - Record Series is considered vital to ongoing agency business. Records identified as vital are to be safeguarded by routine maintenance of off-site backup.

# UTHSCSA ARCHIVAL RECORDS

Record Series Item Number	Agency Item Number/ Department	RECORDS SERIES TITLE	Retention Period	Security	Archival	Vital	Remarks
1.1	565 OST	License Agreements and Other Agreements for Patents, Trademarks, and Copyrights . Includes related correspondence and financial documentation.	AC+7	C	I	X	AC = Expiration, termination, or completion of terms of Agreement. Mandatory backup of documents at offsite location.
1.1	566 OST	Federal Regulation Compliance Records for Patents, Copyrights, and Trademarks. Including all correspondence related to the reporting of federally funded inventions to the appropriate sponsoring agency.	AC+7	C	I	X	AC = Expiration or abandonment of patent, copyright, or trademark or, for non issued patents, date of last office action or correspondence. Mandatory backup of documents at offsite location.
1.1	575 DE	Meeting Agenda and Minutes - Committee. A record of actions and transactions taken by University committees, councils and similar groups. Typically includes minutes, agendas, notes, reports, bylaws, etc.	6		O		ARCHIVES NOTE: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure.
1.1	576 DE	Photographs and Negatives - Historically Significant. Documents the collection of photographs or negatives created by or for a component. Includes events that document the component's organization, special ceremonies, occasions, events and facilities. May include commercially available material.	AV	O	I		

**RETENTION CODES**

- |   |                              |
|---|------------------------------|
| <b>AC</b> - After Closed, Terminated, Completed, Expired, Settled | <b>FE</b> - Fiscal Year End  |
| <b>AR</b> - Annual Review   | <b>LA</b> - Life of Asset    |
| <b>AV</b> - Admin Value   | <b>MO</b> - Months           |
| <b>CE</b> - Calendar Year End                                     | <b>PM</b> - Permanent        |
|   | <b>US</b> - Until Superseded |

**ARCHIVAL CODES**

- I** - Records must be transferred to University Archives
- O** - Records should be appraised for archival or historical value before destruction. Records found to have historical value should be transferred to the University Archives.

**SECURITY CODES**

- O** - Open Record
- C** - Confidential

**VITAL CODE**

- X** - Record Series is considered vital to ongoing agency business. Records identified as vital are to be safeguarded by routine maintenance of off-site backup.

# UTHSCSA ARCHIVAL RECORDS

Record Series Item Number	Agency Item Number/ Department	RECORDS SERIES TITLE	Retention Period	Security	Archival	Vital	Remarks
1.1	580 DE	Films, Videotapes, and Sound Recordings. This series provides visual and/or aural documentation of institutional activities and events including students, faculty, and staff with significant relevance to either the institution's or individual unit's function and mission.	AV			O	
1.1	583 DE	Alumni Association Board Records. This series documents the activities of the alumni association board of directors or Board of Trustees. The board is responsible for promoting the interests and ideals of the institution; stimulating and encouraging school pride in students, graduates, and former students; and developing a sense of responsibility for continued progress in educational programs for the institution. This series may include but is not limited to: agendas; minutes; reports; notes; working papers; and related documentation and correspondence.	PM	O	I		

### RETENTION CODES

<b>AC</b> - After Closed, Terminated, Completed, Expired, Settled	<b>FE</b> - Fiscal Year End
<b>AR</b> - Annual Review	<b>LA</b> - Life of Asset
<b>AV</b> - Admin Value	<b>MO</b> - Months
<b>CE</b> - Calendar Year End	<b>PM</b> - Permanent
	<b>US</b> - Until Superseded

### ARCHIVAL CODES

**I** - Records must be transferred to University Archives

**O** - Records should be appraised for archival or historical value before destruction. Records found to have historical value should be transferred to the University Archives.

### SECURITY CODES

**O** - Open Record

**C** - Confidential

### VITAL CODE

**X** - Record Series is considered vital to ongoing agency business. Records identified as vital are to be safeguarded by routine maintenance of off-site backup.

# UTHSCSA ARCHIVAL RECORDS

Record Series Item Number	Agency Item Number/ Department	RECORDS SERIES TITLE	Retention Period	Security	Archival	Vital	Remarks
1.1	686 DE	Essays Submitted for Awards. This series consists of essays submitted by students or others for the purpose of competing for an award or honor.	AV	O	O		ARCHIVAL NOTE: Essays may be sent to the University Archives for permanent retention. SEE ALSO 1.1 # 344 for financial records for gifts paying for award and # 650, # 652 and # 653 under Student Records for scholarship applications and administrative records.
1.1.004	352 BA	Legislative Appropriation Requests. Including any supporting documentation created and/or used to justify and support legislative appropriations requests by the University.	AC+6	O	I		AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.

**RETENTION CODES**

- |   |                              |
|---|------------------------------|
| <b>AC</b> - After Closed, Terminated, Completed, Expired, Settled | <b>FE</b> - Fiscal Year End  |
| <b>AR</b> - Annual Review   | <b>LA</b> - Life of Asset    |
| <b>AV</b> - Admin Value   | <b>MO</b> - Months           |
| <b>CE</b> - Calendar Year End                                     | <b>PM</b> - Permanent        |
|   | <b>US</b> - Until Superseded |

**ARCHIVAL CODES**

- I** - Records must be transferred to University Archives
- O** - Records should be appraised for archival or historical value before destruction. Records found to have historical value should be transferred to the University Archives.

**SECURITY CODES**

- O** - Open Record
- C** - Confidential

**VITAL CODE**

- X** - Record Series is considered vital to ongoing agency business. Records identified as vital are to be safeguarded by routine maintenance of off-site backup.

# UTHSCSA ARCHIVAL RECORDS

Record Series Item Number	Agency Item Number/ Department	RECORDS SERIES TITLE	Retention Period	Security	Archival	Vital	Remarks
1.1.007	73 DE	Correspondence - Administrative. Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of a component and the administrative regulations, policies, and procedures that govern them.	3	O	O	X	<p>ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the University Archives when these records have met their retention requirements.</p> <p>CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the University's schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.</p>
1.1.011	212 PR	Executive Orders. Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of the University.	US+5	O	I	X	

**RETENTION CODES**

- |   |                              |
|---|------------------------------|
| <b>AC</b> - After Closed, Terminated, Completed, Expired, Settled | <b>FE</b> - Fiscal Year End  |
| <b>AR</b> - Annual Review   | <b>LA</b> - Life of Asset    |
| <b>AV</b> - Admin Value   | <b>MO</b> - Months           |
| <b>CE</b> - Calendar Year End                                     | <b>PM</b> - Permanent        |
|   | <b>US</b> - Until Superseded |

**ARCHIVAL CODES**

- I** - Records must be transferred to University Archives
- O** - Records should be appraised for archival or historical value before destruction. Records found to have historical value should be transferred to the University Archives.

**SECURITY CODES**

- O** - Open Record
- C** - Confidential

**VITAL CODE**

- X** - Record Series is considered vital to ongoing agency business. Records identified as vital are to be safeguarded by routine maintenance of off-site backup.

# UTHSCSA ARCHIVAL RECORDS

Record Series Item Number	Agency Item Number/ Department	RECORDS SERIES TITLE	Retention Period	Security	Archival	Vital	Remarks
1.1.013	77 DE	Calendars, appointment books or programs, and scheduling or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries and other activities of university officials or employees.	CE+1	O	O		<p>ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the University Archives when these records have met their retention periods.</p> <p>CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. SEE Open Records Decision 635 issued in December 1995 by the Attorney General.</p>
1.1.014	211 LE, DE	Legal Opinions and Advice. From University legal counsel or the Attorney General, including any request eliciting the opinions.	AV	O	O		<p>CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048.</p>
1.1.019	345 EA	Public Relations Records. News, press releases, or any public relations files maintained or issued by the University. Includes print, electronic, audio, and audiovisual records.	2	O	O		<p>Records are online since 1/2/97. ARCHIVES NOTE: Records should be sent to University Archives for review prior to disposal. Records of value to the history of the University will be maintained in the University Archives.</p>
1.1.023	192 PR	Organization Charts.	US	O	I		<p>AC = Date of denial of request.</p>

**RETENTION CODES**

- AC** - After Closed, Terminated, Completed, Expired, Settled
- AR** - Annual Review
- AV** - Admin Value
- CE** - Calendar Year End
- FE** - Fiscal Year End
- LA** - Life of Asset
- MO** - Months
- PM** - Permanent
- US** - Until Superseded

**ARCHIVAL CODES**

- I** - Records must be transferred to University Archives
- O** - Records should be appraised for archival or historical value before destruction. Records found to have historical value should be transferred to the University Archives.

**SECURITY CODES**

- O** - Open Record
- C** - Confidential

**VITAL CODE**

- X** - Record Series is considered vital to ongoing agency business. Records identified as vital are to be safeguarded by routine maintenance of off-site backup.

# UTHSCSA ARCHIVAL RECORDS

Record Series Item Number	Agency Item Number/ Department	RECORDS SERIES TITLE	Retention Period	Security	Archival	Vital	Remarks
1.1.024	193 DE	Plans and Planning Records. Plans and records relating to the process of planning new or redefined programs, services or projects of a component that are not included in or directly related to other records series in this schedule.	AC+3	O	O		AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.
1.1.027	395 PR	Proposed Legislation. Drafts of proposed legislation and related correspondence.	AV	O	O		
1.1.038	75 DE	Customer Surveys. Surveys returned by the customers or clients of the University, and the statistical data maintained rating the University's performance.	AC	O	O		AC = Final disposition of summary reports. Retention reflects Legislative Budget Board requirements. SEE item number 1.1.067 for summary reports compiled from customer surveys.
1.1.040	101 DE	Speeches, Papers and Presentations. Notes or text of speeches, papers, presentations or reports delivered in conjunction with University work.	AC	O	O		AC = End of term in office or termination of service in a state position.

### RETENTION CODES

<b>AC</b> - After Closed, Terminated, Completed, Expired, Settled	<b>FE</b> - Fiscal Year End
<b>AR</b> - Annual Review	<b>LA</b> - Life of Asset
<b>AV</b> - Admin Value	<b>MO</b> - Months
<b>CE</b> - Calendar Year End	<b>PM</b> - Permanent
	<b>US</b> - Until Superseded

### ARCHIVAL CODES

**I** - Records must be transferred to University Archives

**O** - Records should be appraised for archival or historical value before destruction. Records found to have historical value should be transferred to the University Archives.

### SECURITY CODES

**O** - Open Record

**C** - Confidential

### VITAL CODE

**X** - Record Series is considered vital to ongoing agency business. Records identified as vital are to be safeguarded by routine maintenance of off-site backup.

# UTHSCSA ARCHIVAL RECORDS

Record Series Item Number	Agency Item Number/ Department	RECORDS SERIES TITLE	Retention Period	Security	Archival	Vital	Remarks
1.1.048	209 LE	Medical Liability Claims and Litigation Files. Records related to threatened or asserted medical litigation or investigation. This series may include but is not limited to: discovery, legal counsel work-products, evidence files, exposure records, exhibits, final judgments, correspondence, financial records, etc.	AC+20	O	O		AC = After Closed. All statues of limitation must be met before file is closed. ARCHIVES NOTE: Review before disposal; some cases that set legal precedent may merit a review by university archivist for historical reasons.
1.1.055	196 AA	COMPACT. Information resources and operational strategic plans prepared in accordance with 2054.095 and 2056.002, Government Code.	AC+6	O	I		AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival strategic requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Strategic plans are now part of the COMPACT process.
1.1.058	90 DE	Meeting Agenda and Minutes. Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.	PM	O	I		ARCHIVES NOTE: University retains permanent record copy. The archival requirement will be met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission. CAUTION: This records series and item numbers 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law or the biennial appropriations act, are administered by another state agency.

**RETENTION CODES**

- |   |                              |
|---|------------------------------|
| <b>AC</b> - After Closed, Terminated, Completed, Expired, Settled | <b>FE</b> - Fiscal Year End  |
| <b>AR</b> - Annual Review   | <b>LA</b> - Life of Asset    |
| <b>AV</b> - Admin Value   | <b>MO</b> - Months           |
| <b>CE</b> - Calendar Year End                                     | <b>PM</b> - Permanent        |
|   | <b>US</b> - Until Superseded |

**ARCHIVAL CODES**

- I** - Records must be transferred to University Archives
- O** - Records should be appraised for archival or historical value before destruction. Records found to have historical value should be transferred to the University Archives.

**SECURITY CODES**

- O** - Open Record
- C** - Confidential

**VITAL CODE**

- X** - Record Series is considered vital to ongoing agency business. Records identified as vital are to be safeguarded by routine maintenance of off-site backup.

# UTHSCSA ARCHIVAL RECORDS

Record Series Item Number	Agency Item Number/ Department	RECORDS SERIES TITLE	Retention Period	Security	Archival	Vital	Remarks
1.1.062	89 DE	Meeting - Supporting Documentation. Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.	2	O	I		SEE caution comment at item number 1.1.058.
1.1.066	362 AA, BA	Reports - Biennial or Annual University (Narrative). Biennial narrative reports to the governor and legislature as required by the University's enabling status, including annual narrative reports if they are required by statute.	AC+6	O	I		AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: 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.
1.1.067	219 PR, DE	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of the University's programs, services, or projects compiled by University personnel, by advisory committees, or by consultants under contract with the University that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	O	O		Departments are responsible for keeping the record copy of any reports or studies they prepare, unless the president's office requests a copy. ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, A, R, or E.

**RETENTION CODES**

- |   |                              |
|---|------------------------------|
| <b>AC</b> - After Closed, Terminated, Completed, Expired, Settled | <b>FE</b> - Fiscal Year End  |
| <b>AR</b> - Annual Review   | <b>LA</b> - Life of Asset    |
| <b>AV</b> - Admin Value   | <b>MO</b> - Months           |
| <b>CE</b> - Calendar Year End                                     | <b>PM</b> - Permanent        |
|   | <b>US</b> - Until Superseded |

**ARCHIVAL CODES**

- I** - Records must be transferred to University Archives
- O** - Records should be appraised for archival or historical value before destruction. Records found to have historical value should be transferred to the University Archives.

**SECURITY CODES**

- O** - Open Record
- C** - Confidential

**VITAL CODE**

- X** - Record Series is considered vital to ongoing agency business. Records identified as vital are to be safeguarded by routine maintenance of off-site backup.

# UTHSCSA ARCHIVAL RECORDS

Record Series Item Number	Agency Item Number/ Department	RECORDS SERIES TITLE	Retention Period	Security	Archival	Vital	Remarks
1.1.070	215 PR	Rules and Regulations of the Board of Regents of The University of Texas System. This record series consists of documentation and amendments to the general policies and rules of governance applicable to all components of the entity.	US	O	I		Available via web at <a href="http://www.utsystem.edu/bor/rules/homepage.htm">http://www.utsystem.edu/bor/rules/homepage.htm</a> .
1.1.070	364 BA, CO	University Rules, Policies, and Procedures - Final. Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by the University that sets out the rules, policies, and procedures that govern the University's programs, services, or projects.	AC+3, FE+6	O	O	X	AC = Completion or termination of program, rules, policies or procedures. Settlement with U. S. Office of Inspector General requires a FE+6 retention period for the Medical School Faculty Practice Plan Compliance Manual and the Institutional Compliance Program and Standards of Conduct Booklet. The online version of the UTHSCSA Handbook of Operating Procedures (HOP) is the record copy and is available on the University's web site under the Compliance web page. Printed copies are kept in several departments, including the Library. SEE ALSO Agency Rules, Policies and Procedures - Working Files, item number 1.1.071. SEE ALSO 1.1 # 667 for policies of the University Police.

### RETENTION CODES

- |   |                              |
|---|------------------------------|
| <b>AC</b> - After Closed, Terminated, Completed, Expired, Settled | <b>FE</b> - Fiscal Year End  |
| <b>AR</b> - Annual Review   | <b>LA</b> - Life of Asset    |
| <b>AV</b> - Admin Value   | <b>MO</b> - Months           |
| <b>CE</b> - Calendar Year End                                     | <b>PM</b> - Permanent        |
|   | <b>US</b> - Until Superseded |

### ARCHIVAL CODES

- I** - Records must be transferred to University Archives
- O** - Records should be appraised for archival or historical value before destruction. Records found to have historical value should be transferred to the University Archives.

### SECURITY CODES

- O** - Open Record
- C** - Confidential

### VITAL CODE

- X** - Record Series is considered vital to ongoing agency business. Records identified as vital are to be safeguarded by routine maintenance of off-site backup.

# UTHSCSA ARCHIVAL RECORDS

Record Series Item Number	Agency Item Number/ Department	RECORDS SERIES TITLE	Retention Period	Security	Archival	Vital	Remarks
1.1.071	570 BA, CO	University Rules, Policies, and Procedures - Working Files. Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by the University that sets out the rules, policies, and procedures that govern the University's programs, services, or projects. Documents changes in prior policies and procedures.	AC+3	O	O	X	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO item number 1.1.070.
1.1.073	572 PR	Administrative Hearings. Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes.	AC+3		O		AC = Last action.

### RETENTION CODES

<b>AC</b> - After Closed, Terminated, Completed, Expired, Settled	<b>FE</b> - Fiscal Year End
<b>AR</b> - Annual Review	<b>LA</b> - Life of Asset
<b>AV</b> - Admin Value	<b>MO</b> - Months
<b>CE</b> - Calendar Year End	<b>PM</b> - Permanent
	<b>US</b> - Until Superseded

### ARCHIVAL CODES

**I** - Records must be transferred to University Archives

**O** - Records should be appraised for archival or historical value before destruction. Records found to have historical value should be transferred to the University Archives.

### SECURITY CODES

**O** - Open Record

**C** - Confidential

### VITAL CODE

**X** - Record Series is considered vital to ongoing agency business. Records identified as vital are to be safeguarded by routine maintenance of off-site backup.

# UTHSCSA ARCHIVAL RECORDS

Record Series Item Number	Agency Item Number/ Department	RECORDS SERIES TITLE	Retention Period	Security	Archival	Vital	Remarks
1.1.074	573 PR	Sunset Review Report and Documentation. The regular assessment by the legislature of the continuing need for a state agency to exist. This records series may include but is not limited to staff and self evaluation reports and all related correspondence and documentation.	AC+3	O	O		AC = After the subsequent Sunset Review.

### Administrative Records - State Publications

1.3.002	97 DE	Publication Development Files. Background material copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the University.	AV	O	O		
---------	-------	---	----	---	---	--	--

### Personnel Records - Employee

#### RETENTION CODES

<b>AC</b> - After Closed, Terminated, Completed, Expired, Settled	<b>FE</b> - Fiscal Year End
<b>AR</b> - Annual Review	<b>LA</b> - Life of Asset
<b>AV</b> - Admin Value	<b>MO</b> - Months
<b>CE</b> - Calendar Year End	<b>PM</b> - Permanent
	<b>US</b> - Until Superseded

#### ARCHIVAL CODES

**I** - Records must be transferred to University Archives

**O** - Records should be appraised for archival or historical value before destruction. Records found to have historical value should be transferred to the University Archives.

#### SECURITY CODES

**O** - Open Record

**C** - Confidential

#### VITAL CODE

**X** - Record Series is considered vital to ongoing agency business. Records identified as vital are to be safeguarded by routine maintenance of off-site backup.

# UTHSCSA ARCHIVAL RECORDS

Record Series Item Number	Agency Item Number/ Department	RECORDS SERIES TITLE	Retention Period	Security	Archival	Vital	Remarks
3.1	621 AA, HR, DE	Appointment, Promotion, and Tenure Records. This series documents the periodic consideration of faculty who are eligible for promotion in rank and change in tenure status, faculty appointments, and compliance with U.T. System regulations for periodic performance evaluation of tenured faculty. Records may include but are not limited to appointment, promotion and tenure proposals submitted by department for review by the Promotion, Tenure and Appointment Committee (PTAC), committee recommendations and approvals, and documentation of post tenure review recommendations. Proposals may include but are not limited to: Chairs' letter of proposal, department or school PTAC committee's letter of recommendation, letters of evaluation and a current curriculum vitae.	AC+5, 1	C	O		AC = Termination of employment. Documents for appointments, promotions, and tenure that are not approved kept for 1 year. VP for Academic Administration keeps lists of initial appointments, promotion and/or tenure actions and post tenure and other faculty reviews and copies of review reports. Human Resources keeps actual documentation in the Individual Personnel File for promotion and tenure and initial faculty appointment packets. Departments and/or Deans keep documentation for faculty reviews. UTHSCSA Handbook of Operating Procedures policy 3.7.5 states all documentation related to the PTEC (Post Tenure Evaluation Committee) review process will be maintained as a confidential file in the Department.

### Support Services Records - Facility Management

5.2.001	120 FM	Appraisals - Building or Property.	AV	O	O	X	Electronic records are updated and maintained on the UT System and Administration WEB site.
---------	--------	------------------------------------	----	---	---	---	---

#### RETENTION CODES

<b>AC</b> - After Closed, Terminated, Completed, Expired, Settled	<b>FE</b> - Fiscal Year End
<b>AR</b> - Annual Review	<b>LA</b> - Life of Asset
<b>AV</b> - Admin Value	<b>MO</b> - Months
<b>CE</b> - Calendar Year End	<b>PM</b> - Permanent
	<b>US</b> - Until Superseded

#### ARCHIVAL CODES

**I** - Records must be transferred to University Archives

**O** - Records should be appraised for archival or historical value before destruction. Records found to have historical value should be transferred to the University Archives.

#### SECURITY CODES

**O** - Open Record

**C** - Confidential

#### VITAL CODE

**X** - Record Series is considered vital to ongoing agency business. Records identified as vital are to be safeguarded by routine maintenance of off-site backup.

# UTHSCSA ARCHIVAL RECORDS

Record Series Item Number	Agency Item Number/ Department	RECORDS SERIES TITLE	Retention Period	Security	Archival	Vital	Remarks
5.2.002	122 FM, AD	Building Construction Project Files. Planning, design, and construction records; accepted and rejected bids; correspondence; etc.	AC+10	O	O	X	AC = Completion of project. SEE ALSO item numbers 5.2.003 and 5.2.028.
5.2.003	123 FM, PU, AD	Building Plans and Specifications. Includes architectural and engineering drawings, profiles, and blueprints.	LA, AC+2	O	O	X	State owned: LA; Leased: AC+2. AC = For leased buildings; termination or cancellation of lease. SEE ALSO item numbers 5.2.002 and 5.2.028. ARCHIVES NOTE: Archival review designation is for state owned buildings only. Facilities Management handles records for owned buildings. Purchasing handles records for leased buildings. Facilities Planning also has records for leased space.
5.2.004	191 ECO	Building Space Requests.	AV	O	I		New building or space requests. Keep records at least 1 year. New building programming begins in the office of the Senior EVP and Chief Operating Officer. However, these records are difficult to assign because there are so many departments involved in a new building program, with design, construction, space assignment and space reporting. These include Facilities Management; Academic Space Allocation, Planning, & Scheduling; and various deans, directors and chairs.
5.2.028	121 FM	Building Construction Contract and Inspection Records. Building construction contracts, surety bonds, and inspection records.	LA+10	O	O	X	Construction contracts for new buildings. SEE ALSO item numbers 5.2.002 and 5.2.003.

### RETENTION CODES

<b>AC</b> - After Closed, Terminated, Completed, Expired, Settled	<b>FE</b> - Fiscal Year End
<b>AR</b> - Annual Review	<b>LA</b> - Life of Asset
<b>AV</b> - Admin Value	<b>MO</b> - Months
<b>CE</b> - Calendar Year End	<b>PM</b> - Permanent
	<b>US</b> - Until Superseded

### ARCHIVAL CODES

**I** - Records must be transferred to University Archives

**O** - Records should be appraised for archival or historical value before destruction. Records found to have historical value should be transferred to the University Archives.

### SECURITY CODES

**O** - Open Record

**C** - Confidential

### VITAL CODE

**X** - Record Series is considered vital to ongoing agency business. Records identified as vital are to be safeguarded by routine maintenance of off-site backup.

# UTHSCSA ARCHIVAL RECORDS

Record Series Item Number	Agency Item Number/ Department	RECORDS SERIES TITLE	Retention Period	Security	Archival	Vital	Remarks
<b>Student Records</b>							
9.1	252 SS	Class Lists. This series provides instructional units with an official record of students enrolled in courses taught. The series is used to cross-check students who have enrolled against those who have registered as well as in the generation of statistical reports. Information in the series includes: student names; social security numbers; term; and enrollment/registration status.	PM	C	I		Converted to electronic Spring 2001. Before Spring 2001 microfilmed.
9.1	255 SS	Commencement Records. This series documents commencement program planning and implementation at the institution. Records may include but are not limited to: commencement attendance forms; planning records created by commencement committees or other planning groups; and related documentation and correspondence.	PM	O	I		Includes commence programs and graduation lists. Graduation lists may be exempt from public disclosure.

**RETENTION CODES**

- |   |                              |
|---|------------------------------|
| <b>AC</b> - After Closed, Terminated, Completed, Expired, Settled | <b>FE</b> - Fiscal Year End  |
| <b>AR</b> - Annual Review   | <b>LA</b> - Life of Asset    |
| <b>AV</b> - Admin Value   | <b>MO</b> - Months           |
| <b>CE</b> - Calendar Year End                                     | <b>PM</b> - Permanent        |
|   | <b>US</b> - Until Superseded |

**ARCHIVAL CODES**

- I** - Records must be transferred to University Archives
- O** - Records should be appraised for archival or historical value before destruction. Records found to have historical value should be transferred to the University Archives.

**SECURITY CODES**

- O** - Open Record
- C** - Confidential

**VITAL CODE**

- X** - Record Series is considered vital to ongoing agency business. Records identified as vital are to be safeguarded by routine maintenance of off-site backup.

# UTHSCSA ARCHIVAL RECORDS

Record Series Item Number	Agency Item Number/ Department	RECORDS SERIES TITLE	Retention Period	Security	Archival	Vital	Remarks
9.1	265 SS	Student Statistical Reports. This series documents student status and enrollment at the institution. Records may include: specialized listings and statistical reports pertaining to departmental and college registration, course changes, add/drops, geographical distribution of students, student age and gender data, mortality of classes, student transfers from other schools, student body grade point averages and GPAs of living groups, and veterans enrollment; reports documenting student and enrollment by term; and reports on other topics.	AV	O	I		Formerly called Degree Statistics. Replaces records for Degree, Enrollment, Grade, and Racial/Ethnic statistics.
9.1	653 DV, DE	Scholarships Awarded by Departments / Program Records. A record of a departmentally administered scholarship program (not administered by university Financial Aid). May include documentation of the establishment of the fund (administrative requirements for the scholarship, donations received, copies of wills, etc.), correspondence regarding the scholarship program, list of recipients, etc.	PM	O	I		Security is open with restrictions.

### RETENTION CODES

- |   |                              |
|---|------------------------------|
| <b>AC</b> - After Closed, Terminated, Completed, Expired, Settled | <b>FE</b> - Fiscal Year End  |
| <b>AR</b> - Annual Review   | <b>LA</b> - Life of Asset    |
| <b>AV</b> - Admin Value   | <b>MO</b> - Months           |
| <b>CE</b> - Calendar Year End                                     | <b>PM</b> - Permanent        |
|   | <b>US</b> - Until Superseded |

### ARCHIVAL CODES

- I** - Records must be transferred to University Archives
- O** - Records should be appraised for archival or historical value before destruction. Records found to have historical value should be transferred to the University Archives.

### SECURITY CODES

- O** - Open Record
- C** - Confidential

### VITAL CODE

- X** - Record Series is considered vital to ongoing agency business. Records identified as vital are to be safeguarded by routine maintenance of off-site backup.

# UTHSCSA ARCHIVAL RECORDS

Record Series Item Number	Agency Item Number/ Department	RECORDS SERIES TITLE	Retention Period	Security	Archival	Vital	Remarks
9.1	658 SS, DE	Thesis and Dissertation Records. This series documents the completion and academic acceptance of graduate theses and dissertations presented to colleges in fulfillment of requirements for graduate degrees. This series includes final and accepted copies of theses and dissertations.	75	C	I		The Registrar's Office retains the original copies of Copyright Disclaimers, Listings of Schools, Reports on Final Oral Examination, Requests for Final Oral Examination, Recommendations for Approval of Dissertation/Thesis Research Proposal and Supervising Committee, Notifications of Admission to Candidacy, and Petitions for Admission to Candidacy. Copies of theses and dissertations are retained by departments and the library. ARCHIVES NOTE: Official copy is offered to archives, special collections or library.
9.1	659 SS	Student Organization Administrative Records. This series documents the history, development, and policies of campus student organizations. Records may include but are not limited to: annual review forms; minutes; constitutions and bylaws; committee, subcommittee, and task force records; Student Senate bill and resolution files; budgets; handbooks; officer and member rosters; scrapbooks; photographs; and related documentation and correspondence.	AC	O	O		AC = Life of the organization.
9.1	676 SS	Catalogs - Student Records.	PM	O	I		This record was previously Agency Item Number 251. ARCHIVAL NOTE: One copy to be retained in University Archives.

**RETENTION CODES**

<b>AC</b> - After Closed, Terminated, Completed, Expired, Settled	<b>FE</b> - Fiscal Year End
<b>AR</b> - Annual Review	<b>LA</b> - Life of Asset
<b>AV</b> - Admin Value	<b>MO</b> - Months
<b>CE</b> - Calendar Year End	<b>PM</b> - Permanent
	<b>US</b> - Until Superseded

**ARCHIVAL CODES**

**I** - Records must be transferred to University Archives  
**O** - Records should be appraised for archival or historical value before destruction. Records found to have historical value should be transferred to the University Archives.

**SECURITY CODES**

**O** - Open Record  
**C** - Confidential

**VITAL CODE**

**X** - Record Series is considered vital to ongoing agency business. Records identified as vital are to be safeguarded by routine maintenance of off-site backup.