



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 755		3. Agency Name Stephen F. Austin State University (SFASU)							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

ADMINISTRATIVE RECORDS

1.1.002	SFA1.1.2	Audits Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC+7		AC+7		AC = Publication or release of final audit findings. The State Auditor's Office retains any copies of its audits performed on Texas state agencies.	
1.1.004	SFA1.1.4	Legislative Appropriations Requests Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC+6		AC+6	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 (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled
 AV – Administrative Value

CE – Calendar Year End
 FE – Fiscal Year End

LA – Life of Asset
 MO – Months

PM – Permanent
 US – Until Superseded

Archival Codes (Field 8)

I – Transfer to University Archives
 O – Review by University Archivist



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2. Agency Code 755		3. Agency Name Stephen F. Austin State University							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
1.1.006	SFA1.1.6	Complaint Records Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+2		AC+2		AC = Final disposition of the complaint CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048		

Retention Codes (Field 7)						Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Transfer to University Archives					
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	O – Review by University Archivist					



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2. Agency Code 755		3. Agency Name Stephen F. Austin State University							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

1.1.007	SFA1.1.7	<p>Correspondence – Administrative Incoming/outgoing and internal correspondence 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</p>	3		3	O	<p>ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the Archives when these records have met their retention periods.</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 agency's approved 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>		
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Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Transfer to University Archives	
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2. Agency Code 755		3. Agency Name Stephen F. Austin State University							
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1.1.008	SFA1.1.8	Correspondence – General Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.	1	1	1	SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.		
1.1.010	SFA1.1.10	Directives Any document that officially initiates, rescinds, or amends general office procedures.	US+1		US +1			
1.1.011	SFA1.1.11	Executive Orders Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.	US+3		US+3	I		

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2. Agency Code 755		3. Agency Name Stephen F. Austin State University							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

1.1.013	SFA1.1.13	Calendars, Appointment and Itinerary Records 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 agency officials or employees.	CE+1	CE+1	O	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 Archives when these records have met their retention periods. 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.			
	SFA1.1.13a	Calendars, Academic	5		5	O			
1.1.014	SFA1.1.14	Legal Opinions and Advice From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV		AV	O	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.		

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1.1.019	SFA1.1.19	Public Relations Records News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.	2		2	O		
1.1.020	SFA1.1.20	Public Information Requests – Not Exempted Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code).	AC+1		AC+1		AC = Date request fulfilled	
1.1.021	SFA1.1.21	Public Information Requests-Exempted Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code)	AC+2		AC+2		AC=Date of notification that records are exempt	
1.1.023	SFA1.1.23	Organization Charts	US		US	I		
1.1.024	SFA1.1.24	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3		AC+3	O	AC=Decision made to implement or not to implement results of planning process. ARCHIVES NOTE: Data processing planning records are not archival	

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2. Agency Code 755		3. Agency Name Stephen F. Austin State University							
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1.1.038	SFA1.1.38	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC		AC	AC = Final disposition of summary report SEE item number 1.1.067 for summary reports compiled from customer surveys.		
1.1.040	SFA1.1.40	Speeches, Papers and Presentations Notes or text of speeches, papers or reports delivered in conjunction with agency work.	AC		AC	O Archival Note: Review required before disposal. AC=End of term in office or termination of service in a state position		
1.1.041	SFA1.1.41	Suggestion System Records Suggestions submitted by agency personnel and responses	1		1			
1.1.043	SFA1.1.43	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1		US+1			

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			Agency	Storage	Total				

1.1.048	SFA1.1.48	Litigation Files Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC+1	AC+1	O	Archival Note: Review required before disposal. 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, if applicable) in a lawsuit. ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the Archives for archival preservation.		
1.1.055	SFA1.1.55	Strategic Plans Information resources and operational strategic plans prepared in accordance with Sections 2054.095 and 2056.002, Government Code.	AC+6	AC+6	I	AC=September 1 of odd-numbered calendar years ARCHIVES NOTE: The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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2. Agency Code 755		3. Agency Name Stephen F. Austin State University							
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			Agency	Storage	Total				
1.1.056	SFA1.1.56	ADA (Americans with Disabilities Act) Documentation Self evaluations and plans documenting compliance with the requirements of the Americans With Disabilities Act	3		3		28 CFR 25.105(c)		

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2. Agency Code 755		3. Agency Name Stephen F. Austin State University						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.1.057	SFA1.1.57	<p>Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an on-going records series. Transitory records 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; internal meeting notices; routing slips; telephone message notifications; 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.</p>	AC		AC	<p>AC=Purpose of record has been fulfilled</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction signoffs (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).</p>		
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2. Agency Code 755		3. Agency Name Stephen F. Austin State University							
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			Agency	Storage	Total				

1.1.058	SFA1.1.58	Meetings 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	PM	I	ARCHIVES NOTE: Agency retains permanent record copy. The archival requirement will be met by sending a copy to the Archives. 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. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.		
1.1.059	SFA1.1.59	Meetings, Certified Agendas or Tape Recordings of Closed Certified agendas or tape recordings of closed meetings of state boards, commissions, committees and councils.	AC+2		AC+2	AC= The date of the meeting or completion of pending action involving the meeting, whichever is later. Government Code, Section 551.104(a). SEE caution comment at item number 1.1.058.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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2. Agency Code 755		3. Agency Name Stephen F. Austin State University							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

1.1.060	SFA1.1.60	Meetings, Audio or Videotapes of Open	AC+90 Days		AC+90 Days	AC=Official approval of written minutes of the meeting by the governing body of an agency. CAUTION: Minutes of state agencies are permanent records. Audio and videotapes are not permanent media. State agencies may not retain audio or videotapes of the meetings of governing bodies in lieu of written minutes. The proceedings of all meetings of state boards, committees, commissions, and councils must be reduced to writing. SEE ALSO caution comment at item number 1.1.058.		
1.1.061	SFA1.1.61	Meeting-Notes Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC+90 Days		AC+90 Days	AC = Approval of the formal minutes by the governing body. SEE caution comment at item number 1.1.058.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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LA – Life of Asset MO – Months	



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2. Agency Code 755		3. Agency Name Stephen F. Austin State University							
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1.1.062	SFA1.1.62	Meetings – Supporting Documents 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	2	I	SEE caution comment at item number 1.1.058.		
1.1.063	SFA1.1.63	Staff Meeting Minutes and Notes Minutes or notes, and supporting documents taken at internal agency staff meetings.	1	1				
1.1.064	SFA1.1.64	Agency Performance Measure Documentation Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE+3	FE + 3		CAUTION: The FE + 3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.		
1.1.065	SFA1.1.65	Reports and Studies (Non- Fiscal)-Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	AV		CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. SEE especially item number 1.1.064.		

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2. Agency Code 755		3. Agency Name Stephen F. Austin State University							
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1.1.066	SFA1.1.66	Reports-Biennial or Annual Agency (Narrative) 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.	AC+6	AC+6	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 University Archives and Texas State Publications Depository Program, Texas State Library and Archives Commission.		
1.1.067	SFA1.1.67	Reports and Studies (Non-Fiscal) 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 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 entries.	3	3	O			
1.1.068	SFA1.1.68	Reports on Performance Measures Quarterly and annual reports on agency performance measures submitted to executive and legislative offices	AC+6	AC + 6		AC = September 1 of odd-numbered calendar years.		

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			Agency	Storage	Total				

1.1.069	SFA1.1.69	Reports – Activity 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.	1		1		CAUTION: SEE item number 1.1.064.		
1.1.070	SFA1.1.70	Agency 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 an agency that sets out the rules, policies, and procedures that govern an agency’s programs, services, or projects.	AC+3		AC + 3	O	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures – Working Files, item number 1.1.071.		
1.1.071	SFA1.1.71	Agency 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 an agency that sets out the rules, policies, and procedures that govern an agency’s programs, services, or projects.	AC+3		AC + 3	O	AC = Completion or termination of program, rules, policies or procedures. See also item number 1.1.070.		

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1.1.072	SFA1.1.72	Public Information Reports Reports made to the Office of the Attorney General on an agency's Public Information Act activities.	2		2				
1.1.073	SFA1.1.73	Administrative Hearings Transcriptions 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 notices, proofs of publication, and meeting minutes.	AC+3		AC+ 3	O	AC = Last action.		
1.1.074	SFA1.1.74	Sunset Review Report and Documentation	AC+3		AC + 3	O	AC = After the subsequent Sunset Review.		
1.1.075	SFA1.1.75	Alternative Dispute Resolutions- Final Agreement Final agreement described by Government Code, 2009.054(c), associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state agency participated as a party on the agency's behalf.	AC+4		AC + 4		AC = Date of final agreement. Texas Civil Practice and Remedies Code, Chapter 154.071.		

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1.2.001	SFA1.2.1	Destruction Authorizations Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE+3		FE + 3				
1.2.003	SFA1.2.3	Forms History File Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	AC+1		AC + 1		AC = Discontinuance use of form.		
1.2.004	SFA1.2.4	Forms Inventory Any periodic listing of all forms used internally or externally by an agency.	US		US				
1.2.005	SFA1.2.5	Records Retention Schedule (SLR 105) Agency copy, formerly RMD 105. Includes documentation of certification and approval-forms SLR 105C (formerly RMD 105C) and/or other forms designated by the State Records Administrator.	US		US		Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.		
1.2.010	SFA1.2.10	Records Disposition Logs Logs or similar records listing records destroyed or transferred to the Archives showing records series titles, dates of records, and the date destroyed or transferred.	10		10				
1.2.012	SFA1.2.12	Records Inventory Worksheets	US		US				

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			Agency	Storage	Total				
1.2.014	SFA1.2.14	Records Management Plans Records management plans and similar records that establish the policies under which records and information are managed in an agency.	US+1		US + 1				

Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value	I – Transfer to University Archives O – Review by University Archivist
CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset MO – Months
PM – Permanent	US – Until Superseded



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SLR 105

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2. Agency Code 755		3. Agency Name Stephen F. Austin State University							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

1.3.001	SFA1.3.1	<p>State Publications One copy of each state publication as defined on page xi of the introduction of this schedule, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently, item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003,, which also meet the definition, are closely associated with the appropriations process and must be retained AC + 6.</p>	AC+2	AC + 2	<p>AC = Until superseded or obsolete.</p> <p>CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101-44.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention.</p> <p>For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC 3.1-3.16).</p>		
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Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Transfer to University Archives			
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2. Agency Code 755		3. Agency Name Stephen F. Austin State University							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

1.3.002	SFA1.3.2	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV		AV	O		
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ELECTRONIC DATA PROCESSING RECORDS

2.1.001	SFA2.1.1	Processing Files Machine-readable files used in the creation, utilization, and updating of master files.	AC		AC	AC = Completion of 3 rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur. CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.		
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Retention Codes (Field 7)						Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Transfer to University Archives			
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2. Agency Code 755		3. Agency Name Stephen F. Austin State University							
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			Agency	Storage	Total				

2.1.002	SFA2.1.2	<p>Master Files Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.</p>	AC		AC	<p>AC= Completion of 3rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.</p> <p>CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.</p>		
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Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value	I – Transfer to University Archives O – Review by University Archivist
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2. Agency Code 755		3. Agency Name Stephen F. Austin State University							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

2.1.007	SFA2.1.7	Software Programs Automated software applications and operating system files including job control language, program listing/source code, etc.	AC		AC	AC = Until electronic records are transferred to and made usable in a new software environment or there are no electric records being retained to meet an approved retention period that require the software to be retrieved and read. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		
2.1.008	SFA2.1.8	Hardware Documentation Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC		AC	AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total			

2.1.009	SFA2.1.9	<p>Technical Documentation Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate, and interpret data in an automated system such as a data element dictionary, file layout, code book or table and other records that explain the meaning, purpose, structure, logical relationships and origin of the data elements.</p>	AC		AC		<p>AC = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read. 13 TAC 6.94</p> <p>CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.</p>		
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Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Transfer to University Archives			
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2. Agency Code 755		3. Agency Name Stephen F. Austin State University							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

2.1.010	SFA2.1.10	Audit Trail Records Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC	AC	AC = All audit requirements have been met.		
2.1.011	SFA2.1.11	Finding Aids, Indexes, and Tracking Systems Automated indexes, lists, registers and other finding aids used to provide access to records.	AC	AC	AC = The related records have been destroyed. CAUTION: These records must carry the same retention period and archival code of the records they support.		
2.2.001	SFA2.2.1	System Monitoring Records Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.	AV	AV			
2.2.002	SFA2.2.2	Chargeback Records to Data Processing Services Users Records used to document, calculate costs, and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.	FE+3	FE + 3			

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total				

2.2.004	SFA2.2.4	Computer Job Schedules and Reports Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.	3MO		3 MO				
2.2.010	SFA2.2.10	Data Processing Policies and Procedures Manuals, guidelines, or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.	US+3		US+3		CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number 2.1.009.		
2.2.011	SFA2.2.11	Batch Data Entry Control Records Forms and logs used to reconcile batches submitted for processing against batches received and processed.	AC		AC		AC = When reconciliation confirmed.		
2.2.012	SFA2.2.12	Output Records for Computer Production Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV		AV				

Retention Codes (Field 7)	Archival Codes (Field 8)
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2. Agency Code 755		3. Agency Name Stephen F. Austin State University							
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			Agency	Storage	Total				
2.2.013	SFA2.2.13	Quality Assurance Records Information verifying the quality of system, hardware, or software operations including records of errors or failures and the loss of data resulting from such failures, documentation of abnormal termination and of error free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy.	AC		AC		AC = No longer needed as an audit trail for any records modified.		
2.2.014	SFA2.2.14	Internet Cookies Data resident on hard drives that make use of user specific information transmitted by the Web server onto the user's computer so that the information might be available for later access by itself or other servers.	AV		AV		The disposal of Internet cookies need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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			Agency	Storage	Total					

2.2.015	SFA2.2.15	History Files-Web Sites A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.	AV		AV		The disposal of history files need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).		
2.2.016	SFA2.2.16	Software Registration, Warranties and License Agreements	LA+3		LA+3				

PERSONNEL RECORDS

3.1.001	SFA3.1.1	Applications for Employment – Not Hired Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	2		2		29 CFR 1602.49 (a) [State Universities].		
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Retention Codes (Field 7)	Archival Codes (Field 8)
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2. Agency Code 755		3. Agency Name Stephen F. Austin State University							
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			Agency	Storage	Total				

3.1.002	SFA3.1.2	Applications for Employment - Hired Applications, resumes, transcripts, letters of references, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC+5	AC + 5	AC = Termination of employment.		
3.1.006	SFA3.1.6	Employee Counseling Records Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisory level except in those agencies with counseling staff.	AC+3	AC + 3	AC = Termination of counseling.		
3.1.011	SFA3.1.11	Employee Insurance Records Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	AC	AC	AC = Until superseded or termination of employment. CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.		
3.1.012	SFA3.1.12	Employment Opportunity Announcements Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.	2	2	29 CFR 1602.49(a) (State Universities).		

Retention Codes (Field 7)	Archival Codes (Field 8)
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2. Agency Code 755		3. Agency Name Stephen F. Austin State University								
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			Agency	Storage	Total					

3.1.013	SFA3.1.13	Employment Contracts	AC+4		AC + 4	AC = Expiration or termination of the contract according to its terms.		
3.1.014	SFA3.1.14	Employment Selection Records Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving record and previous injury checks, pre-employment physical examinations, pre-employment drug screening test results, polygraph examination results, and all other records that document the selection process.	2		2	29 CFR 1602.49(a) (State Universities). CAUTION: Does not include criminal history checks. SEE item number 3.1.026.		
3.1.018	SFA3.1.18	Grievance Records Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC+2		AC + 2	AC = Final decision on the grievance. CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U.S. Department of Labor. SEE item number 1.1.048.		
3.1.019	SFA3.1.19	Performance Appraisals	2		2	29 CFR 1620.32(c).		

Retention Codes (Field 7)	Archival Codes (Field 8)
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2. Agency Code 755		3. Agency Name Stephen F. Austin State University							
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			Agency	Storage	Total				
3.1.020	SFA3.1.20	Personnel Corrective Action Documentation Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	AC+5		AC + 5		AC = Termination of corrective action. CAUTION: If during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from this series used to support disciplinary action must be retained for the minimum retention period described by item number 3.1.021		

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			Agency	Storage	Total				

3.1.021	SFA3.1.21	Personnel Disciplinary Action Documentation Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force, and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication	AC+5	AC + 5	AC = Termination of employment.		
3.1.022	SFA3.1.22	Personnel Information or Action Forms Forms or similar records used to create or change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment.	2	2	29 CFR 1602.49 (a) [State Universities].		
3.1.023	SFA3.1. 23	Position/Job Descriptions Job descriptions, including all associated task or skill statements, for positions in an agency	AC+4	AC + 4	AC = Until superseded or job eliminated. 40 TAC 815.106 (i).		

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			Agency	Storage	Total				

3.1.024	SFA3.1.24	Physical Examinations/ Medical Reports Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.	AC+2	AC + 2	AC = Until superseded or termination of employment. CAUTION: Does not include pre-employment physical examinations. SEE item number 3.1.014.		
3.1.026	SFA3.1.26	Criminal History Checks Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC	AC	AC = The criminal history record has served the immediate purpose for which it was obtained. Caution: An agency that is authorized to obtain criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.		
3.1.027	SFA3.1.27	Training and Educational Achievement Records (Individual) Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC+5	AC + 5	AC = Termination of employment.		

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3.1.029	SFA3.1.29	Employment Eligibility, Documentation or Verification of Federal reporting form (INS I-9)	AC+1	AC + 1	AC = Termination of employment. CAUTION: Federal regulation requires that INS I-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period. 8 CFR 27a.2(b)(2)(i)(A) and (c)(2).		
3.1.031	SFA3.1.31	Employee Benefits – Other than Insurance Agency copies of information relating to the selection of available benefit options other than insurance.	AC+2	AC + 2	AC = Until superseded or termination of employment. CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.		
3.1.034	SFA3.1.34	Resumes – Unsolicited Retention period applies if an agency replies to the sender of a resume that it will be kept on file should future job openings occur.	AV	AV	SEE item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total				

3.1.035	SFA3.1.35	Performance Bonds Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency.	AC+4	AC + 4	AC = Expiration or termination of the bond according to its terms. CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028.		
3.1.036	SFA3.1.36	Apprenticeship Records Summary of applicant qualifications, evaluation basis for selection or rejection, original applications, job assignments, promotions, separations, layoffs, terminations, compensation records, conditions of work, time records, hours of training provided (separate from labor), minority status, and gender of all selected and rejected applicants.	5	5	29 CFR 30.8(e).		
3.1.037	SFA3.1.37	Employee Recognition Records Awards, incentives, tenure, etc.	AC+5	AC + 5	AC = Termination of employment.		
3.1.038	SFA3.1.38	Public Access Option Form Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code 552.024.	US	US	SEE item number 3.3.011.		

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3.1.039	SFA3.1.39	Ombudsman Records Consultation records, notes, letters, memos, emails, reports and other documentation.	AC	AC	AC = Final decision or matter closed CAUTION: Does not include formal complaint filed with EEO. If matter becomes a grievance or the subject of counseling or litigation, or employee is subject to disciplinary action, the records are subject to retention in the appropriate records series. SEE 1.1.048, 3.1.006, 3.1.018, 3.1.020, and 3.1.021.		
3.2.001	SFA3.2.1	Employee Deduction Authorization Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC+4	AC + 4	AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.		
3.2.002	SFA3.2.2	Employee Earnings Records Includes 1099, W2, FICA, and other tax records	4	4	40 TAC 815.106(i).		
3.2.003	SFA3.2.3	Federal Tax Records Includes FICA records.	AC+4	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).		

Retention Codes (Field 7)	Archival Codes (Field 8)
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2. Agency Code 755		3. Agency Name Stephen F. Austin State University							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

3.2.004	SFA3.2.4	Income Adjustment Authorization Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.	2		2	29 CFR 516.6(c).		
3.2.005	SFA3.2.5	W-4 Forms Employer's copy of "Employee's Withholding Exemption Certificate."	AC+4		AC + 4	AC = Until superseded, obsolete, or upon separation of employee. 26 CFR 31.6001-1 (e)(2).		
3.2.006	SFA3.2.6	Wage Rate Tables	2		2	29 CFR 516.6(a)(2).		
3.2.007	SFA3.2.7	Unemployment Compensation Records	AC+5		AC + 5			
3.2.008	SFA3.2.8	Direct Deposit Application/ Authorization	US		US			
3.2.009	SFA3.2.9	State Deferred Compensation Records	AC+5		AC + 5	AC = All accounts with a vendor or vendors for the individual participant have been closed. For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the <i>Benefits Coordinator Reference Manual</i> issued by the Employees Retirement System of Texas.		
3.2.010	SFA3.2.10	Human Resources Information System (HRIS) Reports Includes supporting documentation	AC+4		AC + 4	AC = date report verified		

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total				

3.3.001	SFA3.3.1	Affirmative Action Plans Affirmative action plans for both regular employees and apprenticeship programs.	5		5	29 CFR 30.8(e) for apprenticeship plans.		
3.3.004	SFA3.3.4	Benefit Plans Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc, including amendments.	US+1		US + 1	29 CFR 1627.3(b)(2).		
3.3.010	SFA3.3.10	Labor Statistics Reports Reports providing statistical information on labor force.	3		3			
3.3.011	SFA3.3.11	Former Employee Verification Records Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC+75		AC + 75	AC = Termination of employment See item number 3.1.038		
3.3.015	SFA3.3.15	Positions/Job Classification Review File Records relating to review and monitoring of job classifications within an agency.	US+3		US + 3			
3.3.020	SFA3.3.20	Work Schedules/Assignments Work, duty, shift, crew, or case schedule, rosters, or assignments.	1		1			

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total				

3.3.022	SFA3.3.22	Texas Workforce Commission (TWC) Reports Reports to the agency from TWC or its predecessor pertaining to employees.	3		3			
3.3.023	SFA3.3.23	Reimbursable Activities, Request and Authorizations to Engage in 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 employees are defrayed or reimbursed.	FE+3		FE + 3			
3.3.024	SFA3.3.24	Personnel Policies and Procedures Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.	US+3		US + 3			
3.3.025	SFA3.3.25	Job Procedure Records Any documents detailing the procedural duties and responsibilities of agency positions on a position-by position basis.	US+3		US + 3			

Retention Codes (Field 7) AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value CE – Calendar Year End FE – Fiscal Year End	Archival Codes (Field 8) LA – Life of Asset MO – Months PM – Permanent US – Until Superseded I – Transfer to University Archives O – Review by University Archivist
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			Agency	Storage	Total			

3.3.026	SFA3.3.26	Agency Staffing Reports Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name, staff hired during a month, detailed listings of employees within its organizational structure, position vacancies, analysis of turnover rates and seasonality of employment, etc.	US+3		US + 3			
3.3.027	SFA3.3.27	Aptitude and Skills Tests Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US+2		US + 2	29 CFR 1602.49 [State Universities].		
3.3.028	SFA3.3.28	Aptitude and Skills Tests (Test Papers) Aptitude and skills test papers of job applicants or of current personnel taking a test to qualify for promotion or transfer.	2		2	29 CFR 1602.31 [State Agencies] 29 CFR 1602.49 [State Universities]		
3.3.029	SFA3.3.29	Aptitude and Skills Tests (Validation Records) Records of the validation of aptitude and skills tests.	AC+2		AC + 2	AC = As Long as the test is used by an agency. 29CFR 1602.31 [State Agencies] 29 CFR 1602.49 [State Universities]		

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			Agency	Storage	Total			

3.3.030	SFA3.3.30	Training Administration Records Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern an agency's programs, services, or projects.	US+2	US + 2		CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.		
3.3.031	SFA3.3.31	EEO Reports and Supporting Documentation Includes documentation used to complete EEO reports.	3	3		29 CFR 1602.32, 1602.39, 1602.41, 1602.48, 1602.50.		
3.3.032	SFA3.3.32	Equal Pay Records Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the federal Equal Pay Act.	3	3		29 CFR 1620.32.		
3.4.001	SFA3.4.1	Accumulated Leave Adjustment Requests Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances on August 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE+3	FE + 3				

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			Agency	Storage	Total				

3.4.002	SFA3.4.2	Leave Status Reports Cumulative reports is issued each pay cycle and provides employee leave status information for each position.	FE+3		FE + 3			
3.4.003	SFA3.4.3	Less Than Full-Time Worked Reports Dates and hours.	4		4		40 TAC 815.106(i).	
3.4.004	SFA3.3.4	Overtime Authorizations	2		2			
3.4.005	SFA3.4.5	Overtime Schedules	2		2			
3.4.006	SFA3.4.6	Time Cards and Time Sheets	4		4		40 TAC 815.106(i).	
3.4.007	SFA3.4.7	Time Off and/or Sick Leave Requests	FE+3		FE + 3			
3.4.008	SFA3.4.8	Sick Leave Pool Documentation Requests submitted, approvals, number of hours transferred in and out, etc.	FE+3		FE + 3			

FISCAL RECORDS

4.1.001	SFA4.1.1	Accounts Payable Information	FE+3		FE + 3			
4.1.002	SFA4.1.2	Billing Detail	FE+3		FE + 3		CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.	
4.1.003	SFA4.1.3	Canceled Checks/Stubs/Warrants/Drafts	FE+3		FE + 3			
4.1.004	SFA4.1.4	Encumbrance Detail	FE+3		FE + 3			

Retention Codes (Field 7)

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4.1.005	SFA4.1.5	Inventory and Other Cost Files Production, job, labor, quotes, pricing, specifications, etc.	FE+3		FE + 3				
4.1.006	SFA4.1.6	Investment Transaction Files	FE+3		FE + 3				
4.1.007	SFA4.1.7	Transfers or Budget Revisions Transfers or adjustment to budgets.	FE+3		FE + 3				
4.1.008	SFA4.1.8	Electronic Fund Transfers Direct Deposit Registers.	FE+3		FE + 3				
4.2.001	SFA4.2.1	Cash Deposit Vouchers Cash Deposit slips	FE+3		FE + 3				
4.2.002	SFA4.2.2	Cash Receipts Includes receipts for fees (permits, licenses, renewals, etc.)	FE+3		FE + 3				
4.2.003	SFA4.2.3	Daily Cash Receipts Logs	FE+3		FE + 3				
4.2.004	SFA4.2.4	Encumbrance Vouchers Orders, statements, change orders, etc.	FE+3		FE + 3				
4.2.005	SFA4.2.5	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+3		FE + 3				
4.2.006	SFA4.2.6	General Journal Vouchers	FE+3		FE + 3				
4.2.007	SFA4.2.7	Expenditure Vouchers Travel, payroll, etc.	FE+3		FE + 3				
4.3.001	SFA4.3.1	Sales Journals or Registers	FE+3		FE + 3				

Retention Codes (Field 7)	Archival Codes (Field 8)
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4.3.002	SFA4.3.2	Receipts Journals or Registers	FE+3		FE + 3			
4.3.003	SFA4.3.3	Expenditures Journals or Registers	FE+3		FE + 3			
4.4.001	SFA4.4.1	General and Subsidiary Ledgers	FE+3		FE + 3			
4.4.002	SFA4.4.2	Accounts Receivable Ledgers	FE+3		FE + 3			
4.4.003	SFA4.4.3	Accounts Payable Ledgers	FE+3		FE + 3			
4.4.004	SFA4.4.4	Employee Savings Bond Ledgers	FE+3		FE + 3			
4.5.001	SFA4.5.1	Worksheets for Preparing Fiscal Reports	FE+3		FE + 3			
4.5.002	SFA4.5.2	Internal Fiscal Management Reports Includes agency monthly budget reports.	FE+3		FE + 3			

<p><i>Retention Codes (Field 7)</i></p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p>	<p><i>Archival Codes (Field 8)</i></p> <p>I – Transfer to University Archives O – Review by University Archivist</p>
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			Agency	Storage	Total				

4.5.003	SFA4.5.3	Annual Financial Reports Required by the General Appropriations Act (100 Day Report).	AC+6	AC + 6	AC = September 1 of odd-numbered calendar years. CAUTION: If an agency does not produce a biennial or annual narrative report as described in item number 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.		
4.5.005	SFA4.5.5	External Fiscal Reports Special purpose – i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE+3	FE + 3			
4.5.006	SFA4.5.6	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	FE + 3			
4.5.007	SFA4.5.7	USAS Reports – Daily	AC	AC	AC = Receipt and reconciliation of monthly report.		

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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Agency	7. Storage	7. Total	8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
4.5.008	SFA4.5.8	USAS Reports – Monthly	AC		AC		AC = Receipt and reconciliation of annual report.		
4.5.009	SFA4.5.9	USAS Reports – Annual	FE+3		FE + 3				
4.6.001	SFA4.6.1	Balancing Records	FE+3		FE + 3				
4.6.002	SFA4.6.2	Reconciliations	FE+3		FE + 3				
4.6.003	SFA4.6.3	Cash Counts	FE+3		FE + 3				
4.7.001	SFA4.7.1	Accounting Policies and Procedures Manual	US+3		US + 3				
4.7.002	SFA4.7.2	Bank Statements	FE+3		FE + 3				
4.7.003	SFA4.7.3	Returned Checks/Warrants/Drafts (Uncollectable)	AC+3		AC + 3		AC = After deemed uncollectible.		
4.7.004	SFA4.7.4	Capital Asset Records	LA+3		LA + 3				
4.7.005	SFA4.7.5	Claim Files	AC+3		AC + 3		AC = Resolution of claim.		
4.7.006	SFA4.7.6	Comptroller Statements	FE+3		FE + 3				
4.7.007	SFA4.7.7	Detail Chart of Accounts One for all accounts in use for fiscal year.	FE+3		FE + 3				

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4.7.008	SFA4.7.8	Federal Grant Records	AC+3		AC + 3	AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule). CAUTION: Retention requirements may vary depending on the specific federal funding agency. Agencies must ensure that records are retained for the appropriate retention period.		
4.7.009	SFA4.7.9	Fixed Asset Sequential Number Logs	US+3		US + 3			
4.7.010	SFA4.7.10	Long Term Liability Records Bonds, etc.	AC+3		AC + 3	AC = Retirement of debt.		
4.7.011	SFA4.7.11	Texas Building and Procurement Commission Statements (TBPC) Charge or Bill statements received by agencies from the TBPC for services provided.	FE+3		FE + 3			
4.7.012	SFA4.7.12	Signature Authorizations Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	US+ FE+3		US + FE + 3			

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SUPPORT SERVICES RECORDS

5.1.001	SFA5.1.1	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+4	AC + 4	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.		
5.1.003	SFA5.1.3	Delivery Reports	2	2			
5.1.004	SFA5.1.4	Mail and Telecommunications Listings Any mailing address, telephone or fax number, or email address records maintained by an agency on its employees or on entities or persons it serves.	US	US			
5.1.005	SFA5.1.5	Postage Records Records and reports of postage expenses, including postal meter usage.	FE+3	FE + 3			
5.1.007	SFA5.1.7	Requisitions for In-Agency/Inter-Agency Copy/Printing Service Includes word processing and data processing.	AV	AV			

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5.1.010	SFA5.1.10	Licenses and Permits for Non-vehicles Does not include licenses and permits issued by an agency as part of its statutory responsibilities.	AC+2		AC + 2	AC = expiration date of license or permit		
5.1.011	SFA5.1.11	Photocopier and Telefax Usage Logs & Reports	AV		AV			
5.1.012	SFA5.1.12	Charge Schedules/ Price Lists Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges.	US+3		US+3			
5.1.013	SFA5.1.13	Insurance Policies For vehicles, equipment, etc.	AC+4		AC + 4	AC = Expiration or termination of the policy according to its terms.		
5.1.014	SFA5.1.14	Office Procedures Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency; for example, agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US+1		US + 1			
5.1.015	SFA5.1.15	Correspondence Tracking Records Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers.	1		1			

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5.1.017	SFA5.1.17	Contract Log List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE+3		FE + 3			
5.2.001	SFA5.2.1	Appraisals-Building or Property	AV		AV	O		
	SFA5.2.1aa	Deeds and Easements	LA		LA	O		
5.2.002	SFA5.2.2	Building Construction Project Files Planning, design and construction records; accepted and rejected bids; correspondence; etc.	AC+10		AC+10	O	AC=Completion of project. SEE ALSO item numbers 5.2.003 and 5.2.028	
5.2.003	SFA5.2.3	Building Plans and Specifications Includes architectural and engineering drawings, profiles, and blueprints	State owned: LA Leased: AC+2		State owned: LA Leased: AC+2	O	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	
5.2.004	SFA5.2.4	Building Space Requests	1		1			
5.2.005	SFA5.2.5	Calibration Records (Equipment or Instrument)	10		10			
5.2.006	SFA5.2.6	Property Destruction, Certificates of	FE+3		FE+3			
5.2.007	SFA5.2.7	Damage Reports Reports of damage to state property	FE+3		FE+3			

Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value CE – Calendar Year End FE – Fiscal Year End LA – Life of Asset MO – Months PM – Permanent US – Until Superseded	I – Transfer to University Archives O – Review by University Archivist



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2. Agency Code 755		3. Agency Name Stephen F. Austin State University							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

5.2.008	SFA5.2.8	Equipment History File; Equipment Service Agreements Agreements or contracts between the agency and equipment vendor to provide maintenance service for equipment. Includes requests for installation, moves, service, etc; and service/repair logbooks, etc.	LA+3	LA+3				
5.2.009	SFA5.2.9	Equipment Inventory Detail Report Forms Updates agency portion of the inventory listing and adds, changes, transfers or deletes items from inventory	FE+3	FE+3				
5.2.010	SFA5.2.10	Equipment Manuals	LA	LA				
5.2.011	SFA5.2.11	Equipment Warranties	AC+1	AC+1		AC = Expiration of warranty		
5.2.012	SFA5.2.12	Estimate Files (Supply and Repair Cost Estimates)	1	1				
5.2.014	SFA5.2.14	Inventory-Annual Physical Property, equipment, supply verification	FE+3	FE+3				
5.2.015	SFA5.2.15	Inventory, Notices of Equipment Removed From	FE+3	FE+3				
5.2.016	SFA5.2.16	Inventory System Update Listings Listing shows all additions, changes, deletions and transfer times for the monthly processing period	AC	AC		AC=Transfer of information into annual listing		
5.2.017	SFA5.2.17	Lost & Stolen Property Reports	FE+3	FE+3				

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total				

5.2.018	SFA5.2.18	Quality Control Reports	2		2				
5.2.019	SFA5.2.19	Service Orders Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts and remarks	1		1				
5.2.020	SFA5.2.20	Supply Usage Records	FE+1		FE+1				
5.2.021	SFA5.2.21	Surplus Property Sale Reports	FE+3		FE+3				
5.2.022	SFA5.2.22	Utility Usage Reports	AV		AV				
5.2.023	SFA5.2.23	Year-to-Date Activity (Inventory Listing) Shows additions, changes, transfers and deletions of information within the inventory system. Data include agency, division, tag number, batch, document, transaction date, location, item code, description, date and cost.	FE+3		FE+3				
5.2.024	SFA5.2.24	Material Specifications	AC+2		AC+2		AC = Material is no longer in the agency		
5.2.025	SFA5.2.25	Equipment Descriptions and Specifications	AC+2		AC+2		AC = Equipment is no longer in the agency		
5.2.026	SFA5.2.26	Facilities Reservation Logs Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.	2		2				
5.2.027	SFA5.2.27	Space Utilization Reports	AV		AV				

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total				

5.2.028	SFA5.2.28	Building Construction Contract and Inspection Records Building construction contracts, surety bonds and inspection records	LA+10		LA+10	O	SEE ALSO item number 5.2.002 and 5.2.003		
5.3.002	SFA5.3.2	Freight Bills Paid	FE+3		FE+3				
5.3.003	SFA5.3.3	Freight Claims	AC+2		AC+2		AC=Resolution of claim		
5.3.004	SFA5.3.4	Order-Acknowledgments	AV		AV				
5.3.005	SFA5.3.5	Packing Slips	AV		AV				
5.3.007	SFA5.3.7	Bid Documentation Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	FE+3		FE+3		CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001 and 5.2.028		
5.3.008	SFA5.3.8	Purchasing Logs Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE+3		FE+3				
5.3.009	SFA5.3.9	Requests for Information Requests for information preliminary to the procurement of goods or services by direct purchase or bid	AC		AC		AC= date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total				

5.4.001	SFA5.4.1	Accident Reports and Associated documentation Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally on accident frequency.	CE+5		CE+5	29 CFR 1904.33 Texas Department of Insurance retains copies of the reports submitted to it for 50 years.		
5.4.002	SFA5.4.2	Evacuation Plans	US		US			
5.4.003	SFA5.4.3	Inspection Records Fire, safety and other inspection records of agency facilities and equipment.	AC+3		AC+3	AC=inspection or date of the correction of the deficiency if the inspection report reveals a deficiency. CAUTION: Does		
5.4.004	SFA5.4.4	Fire Orders Orders issued by fire marshal to correct deficiencies in compliance with the fire code.	AC+3		AC+3	AC=Deficiency corrected		
5.4.007	SFA5.4.7	Hazardous Materials Training Records Records of training given employees in an agency hazard communications program	5		5	Texas Health and Safety Code, 502-009(g)		
5.4.008	SFA5.4.8	Hazard Communication Plans	US+5		US+5	Texas Health and Safety Code, 502.009(g)		
5.4.009	SFA5.4.9	Workplace Chemical Lists	30		30	Texas Health and Safety Code, 502.005(d)		
	SFA5.4.9aa	Pesticide Application Records	3		3			

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total				

	SFA5.4.9bb	Laboratory Logs Logs or registers or toxicological, histological or other laboratory tests and procedures performed.	2		2				
5.4.010	SFA5.4.10	Material Safety Data Sheets	AC		AC		AC=After sheets are updated or hazardous chemical no longer stored by agency, as applicable.		
5.4.011	SFA5.4.11	Visitor Control Registers Logs, registers or similar records documenting visitors to limited access or restricted areas of agency facilities.	3		3				
5.4.012	SFA5.4.12	Security Access Records Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency facilities, equipment or automated systems.	AC+2		AC+2		AC=Until superseded, date of expiration, or date of termination, whichever sooner.		
5.4.013	SFA5.4.13	Disaster Preparedness and Recovery Plans	US		US				
5.5.001	SFA5.5.1	Billing Detail-Telecommunications (Other than TEX-AN) In addition to summary detail, includes any accompanying detailed listing of long distance calls	FE+3		FE+3		SEE item number 5.5.0066 for TEX-AN billing detail		
5.5.002	SFA5.5.2	Long Distance Telephone Logs	AV		AV				

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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

5.5.003	SFA5.5.3	Station Activity Reports Internal listing of all incoming/outgoing agency telephone activity	AV		AV			
5.5.004	SFA5.5.4	System Activity Reports Internal listing of all incoming/outgoing agency telephone activity.	AV		AV			
5.5.006	SFA5.5.6	Billing Detail-Telecommunications (TEX-AN)	FE+3		FE+3	The billing agency will maintain all long distance TEX-AN records and will provide each using agency its bill summary of centralized capitol complex telephone service without call detail records. For these bill summaries, SEE item number 4.7.011. SEE item number 5.5.001 for billing detail from carriers other than TEX-AN		
5.5.007	SFA5.5.7	Disputed Call Documentation Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use	FE+3		FE+3			
5.6.003	SFA5.6.3	Inspection Repair and Maintenance Records-Vehicles	LA+1		LA+1			
5.6.004	SFA5.6.4	License and Driving Record Checks	AC		AC	AC=Until superseded or until termination of employment		

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total				

5.6.005	SFA5.6.5	Vehicle Use Reports Includes mileage, fuel/oil consumption, passengers carried and other related operational information	FE+3		FE+3			
5.6.007	SFA5.6.7	Vehicle Titles & Registrations	LA		LA			

SPECIFIC TO SFASU

ADMISSIONS AND ASSESSMENT RECORDS

	SFA100.1.1	Applications/ Admissions-Students-Enrolled Applications for admission or readmission; letters or forms evidencing grant or denial of admission, petitions for special admission or readmission; entrance examination reports (ACT, SAT, TOEFL, etc.); TASP score reports or exemptions forms; local assessment test reports; residency status forms and oaths; Immigration and naturalization Service forms; health and immunization reports; GED attainment documentation; and high school or prior college transcripts, transcript waivers or statement of good standing.	AC+5		AC+5		BUCKLEY Amendment, Confidential Record AC= Graduation or date of last attendance.	
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			Agency	Storage	Total				

	SFA100.1.2	Applications/ Admissions- Students- Not Enrolled	AC+1		AC+1	BUCKLEY Amendment, Confidential Record. Set by American Association of Collegiate Registrars and Admissions Officers (AACRAO) guidelines. AC= end of application term		
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ACADEMIC RECORDS

	SFA100.2.1	Academic Grievance Records Records concerning the review of complaints and grievances against faculty members or university staff	AC+2		AC+2	AC=Closure of review of complaint. SEE ALSO Record Item Number 3.1.019		
	SFA100.2.2	Academic Progress Records-Students	AC+5		AC+5	BUCKLEY Amendment, Confidential Record AC= Graduation or date of last attendance.		
	SFA100.2.3	Academic Status Report-Students	PM		PM	BUCKLEY Amendment, Confidential Record		

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total			

	SFA100.2.4	Advance Placement and Credit Records- Students-Awarded Transfer credit evaluations, national or state standardized test scores and reports (e.g. CLEP, AP, CPS), credit by examination authorizations and reports, military course documentation (e.g. DANTES, USAFI) and evaluations, non-traditional transcripts and credentials, life experience records, requests for advanced credit and similar documentation used to evaluate and determine award of credit by advanced placement.	AC+3		AC+3		AC= Graduation or date of last attendance.		
	SFA100.2.5	Advance Placement and Credit Records- Students- Not Awarded Transfer credit evaluations, national or state standardized test scores and reports (e.g. CLEP, AP, CPS), credit by examination authorizations and reports, military course documentation (e.g. DANTES, USAFI) and evaluations, non-traditional transcripts and credentials, life experience records, requests for advanced credit and similar documentation used to evaluate and determine award of credit by advanced placement.	AC+1		AC+1		AC = end of academic year in which decision made.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	O – Review by University Archivist			



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			Agency	Storage	Total				

	SFA100.2.6	Advisement- Students	AC+3		AC+3		AC= Graduation or date of last attendance.		
	SFA100.2.7	Athletic Eligibility Records- Student	6		6		BUCKLEY Amendment, Confidential Record. All audit requirements will be met prior to disposal.		
	SFA100.2.8	Athletic File- Students Files on student athletes. (Athletics Department)	AC+3		AC+3	O	AC= Graduation or date of last attendance		
	SFA100.2.9	Attendance Records- Students	5		5		BUCKLEY Amendment, Confidential Record.		
	SFA100.2.10	Class Schedules, Department	5		5				
	SFA100.2.11	Comprehensive Exams-Students	5		5				
	SFA100.2.12	Course Equivalencies	US+1		US+1				

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			Agency	Storage	Total	9. Remarks			

	SFA100.2.13	Course Registration and Status Records-Students Registration forms, class rosters, and similar records providing information on which courses student are registered for at the beginning of an academic term, including documentation evidencing the conditions under which courses are undertaken (e.g. audit, pass/fail and credit/no credit authorizations or approvals) or evidencing changes to registration status during the term (e.g. add/drop forms by student or instructor).	AC+1	AC+1	AC=End of academic term		
	SFA100.2.14	Course Schedules Schedule of classes available each semester.	US	US	O		
	SFA100.2.15	Curriculum Development Files Reports, studies, and similar records documenting the development of new courses and programs or review of a current program.	FE+5	FE+5	O		
	SFA100.2.16	Degree Application-Student Application for graduation.	AC+1	AC+1	BUCKLEY Amendment, Confidential Record. AC= Graduation or withdraw		

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	SFA100.2.17	Degree Plans-Student	6		6	BUCKLEY Amendment, Confidential Record. For Final Degree Plans see Agency Item number SFA.100.2.20		
	SFA100.2.18	Enrollment Statistics- Students Attendance reports prepared by faculty on class census day and used as source documentation for enrollment reports submitted to the Texas Higher Education Coordinating Board.	FE+3		FE+3	O		
	SFA100.2.19	Enrollment Verification- Students	AC+1		AC+1	BUCKLEY Amendment, Confidential Record. AC= Graduation or date of last attendance.		
	SFA100.2.20	Final Graduation/Degree Plans	AC+6		AC+6	AC=Date of final plan.		
	SFA100.2.21	Grade Change Forms Change to a student grade signed by the professor, department chair and dean.	PM		PM	BUCKLEY Amendment, Confidential Record Retention based on AACRAO guidelines for Change of Grade Forms.		
	SFA100.2.22	Grade Sheets- Faculty Grade books/worksheets	1		1	BUCKLEY Amendment, Confidential Record.		

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	SFA100.2.23	Grade Sheets Grade sheets submitted by instructors used to post grades or credit data to transcripts	AC+5		AC+5		AC=End of academic year O=paper & electronic		
	SFA100.2.24	Grade Sheets- University List of students in a class and the grade they received in the class. (Registrar Office Copy)	PM		PM	I	BUCKLEY Amendment, Confidential Record.		
	SFA100.2.25	Graduation Status & Ranking	PM		PM		BUCKLEY Amendment, Confidential Record. Retention period based on AACRAO guidelines.		
	SFA100.2.26	ID Card Requests-Students	AC+1		AC+1		AC= Date of request BUCKLEY Amendment, Confidential Record.		
	SFA100.2.27	Permits for Admission to Register Permission form given to a student to register for a class that is either closed or permit only.	AV		AV		BUCKLEY Amendment, Confidential Record.		
	SFA100.2.28	Recognitions/Awards-Students	AC+3		AC+3	O	AC= Graduation or date of last attendance		
	SFA100.2.29	Recruitment Records- Students	AC+1		AC+1		AC= Graduation or date of last attendance. BUCKLEY Amendment, Confidential Record.		

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			Agency	Storage	Total				

	SFA100.2.30	Students- Name Change Requests	AC+5		AC+5	AC= Date of request. BUCKLEY Amendment Confidential Record		
	SFA100.2.31	Students- 4th & 12th Class Day Reports	5		5	BUCKLEY Amendment, Confidential Record. All audit requirements will be met prior to disposal.		
	SFA100.2.32	Student Organizations Membership Rosters, records how funds are extended, etc.	FE+3		FE+3			
	SFA100.2.33	Students Statistical Reports Annual statistical reports of enrollment, grades, graduates, racial/ethnic composition, student-pupil ratios, and other education related matters submitted to the governing body, state or federal agencies or accrediting organizations.	PM		PM	I		
	SFA100.2.34	Student Teaching Records	AC+ 3		AC+ 3	AC= Completion of student teaching.		
	SFA100.2.35	Students- Tests, Academic Tests that were taken while enrolled in a class.	AC+1		AC+1	AC= End of semester in which the test was taken. BUCKLEY Amendment, Confidential Record.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total				

	SFA100.2.36	Students- Test Materials (External) TASP,ACT,	CE+1		CE+1			
	SFA100.2.37	Textbooks Adoptions Records	3		3			
	SFA100.2.38	Transcript Requests	AC+1		AC+1		AC= Date Submitted BUCKLEY Amendment, Confidential Record.	
	SFA100.2.39	Transcripts-Students Transcript or a record equivalent in function of the academic achievement of each enrolled student, documenting courses taken, credits granted, grades received and any degrees or certifications awarded.	PM		PM		BUCKLEY Amendment, Confidential Record. Retention period based on AACRAO guidelines for Academic Records.	
	SFA100.2.40	Withdrawal/Reinstatement- Students	AC+5		AC+5		BUCKLEY Amendment, Confidential Record. AC=date of withdraw or reinstatement	

FINANCIAL AID, INTERNSHIP AND EMPLOYMENT RECORDS

	SFA100.3.1	Apprenticeship Records: Practicum, Internship- Students	5		5			
	SFA100.3.2	Employment-Student Includes Work-Study Records	FE+5		FE+5		Retention period based on federal requirement for Pell Grant and other campus based program. 34 CFR 676.19(c) All audit requirements will be met prior to disposal.	

Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled
AV – Administrative Value

CE – Calendar Year End
FE – Fiscal Year End

LA – Life of Asset
MO – Months

PM – Permanent
US – Until Superseded

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SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code	755	3. Agency Name					Stephen F. Austin State University				
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.		
			Agency	Storage	Total						

	SFA100.3.3	Financial Aid, Promissory Notes	AC+3		AC+3	AC= Debt retired.		
	SFA100.3.4	Financial Aid Records -Students	AC+6		AC+6	BUCKLEY Amendment, Confidential Record. AC= Graduation or last date of attendance.		
	SFA100.3.5	Financial Aid- Refunds and Repayments	FE+5		FE+5	All audit requirements will be met prior to disposal. Pell Grant Federal regulations and other campus based programs 34 CFR 676.19(c)		
	SFA100.3.6	Graduate Assistant & Teaching Assistant Contract letter and acceptance form	FE+5		FE+5			
	SFA100.3.7	Loan Journals or Registers- Students	AC+5		AC+5	AC= Graduation or last date of attendance All audit requirements will be met prior to disposal.		
	SFA100.3.8	Scholarships Records- Awarded, SFASU	AC+5		AC+5	All audit requirements will be met prior to disposal. AC= Graduation or last date of attendance.		
	SFA100.3.9	Scholarship Records-Awarded, Non-SFASU	AC+3		AC+3	AC= Graduation or last date of attendance. BUCKLEY Amendment, Confidential Record.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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	SFA100.3.10	Veteran Affairs Records-Students	AC+5		AC+5	BUCKLEY Amendment, Confidential Record. AC=Graduation or date of last attendance		
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FAMILY EDUCATIONAL RIGHTS AND PRIVACY ACT RECORDS

	SFA100.4.1	Access to Information, Records of-Students Record of each request for access to and each disclosure of personally identifiable information from the educational records of a student. Documentation of requests from and disclosures to the student, to a University official for what the University has determined are legitimate educational interests, to a party with written consent from the student, or to a party seeking directory information	2		2			
	SFA100.4.2	Access to Information -Students Documentation of requests from and disclosures to any party not included in Agency Item Number SFA.100.4.1	PM		PM			
	SFA100.4.3	Access to Information, Consent-Students Written consents from the student for information disclosure.	PM		PM			

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	SFA100.4.4	Access to Information, Refusal-Students Written refusals from the student to the disclosure of directory information.	AC		AC	AC=Graduation or date of last attendance		
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ACCREDITATION RECORDS

	SFA100.5.1	Accreditation Records--State	PM		PM	O		
	SFA100.5.2	Accreditation Records	FE+10		FE+10	O	Records kept according to accrediting organizations' requirements.	
	SFA100.5.3	Accreditation Planning Records Preliminary self studies; planning documents used to establish goals and indicators; achievement reports; documentation evidencing community, staff, and student involvement in the establishment of performance objectives; and similar records created in districts to plan for and monitor progress during interims between visits from accrediting agencies.	AV		AV		AV=After subsequent accreditation (Review before disposal; some records of this type may merit permanent retention for historical reasons.)	

STUDENT AND FACULTY PERSONNEL RECORDS

	SFA100.6.1	Career Services Credential Files- Students	5		5	BUCKLEY Amendment, Confidential Record.		
	SFA100.6.2	Client/Patient Medical File/Records	AC+ 10		AC+ 10	AC=date of graduation or termination of employment		

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Archival Codes (Field 8)

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	SFA100.6.3	Consent/Release Forms	AC		AC	AC=date of graduation or termination of employment All audit requirements will be met prior to disposal.		
	SFA100.6.4	Counseling Files Mental health counseling for students and employees.	7		7			
	SFA100.6.5	Disability Services Client Files—Accepted & Traditional	7		7			
	SFA100.6.6	Disability Services Client Files—Not accepted	AC+2		AC+2	AC=After committee decision		
	SFA100.6.7	Disability Services Semester Plan for Services	1		1			
	SFA100.6.8	Disciplinary Records-Academic-Students	AC+5		AC+5	BUCKLEY Amendment, Confidential Record. AC= Graduation or date of last attendance.		
	SFA100.6.9	Disciplinary Records-Expulsion- Students Documentation relating to violations and alleged violations of campus rules, codes of conduct or other institution policies by students.	5		5	BUCKLEY Amendment, Confidential Record. This record group does not include records relating to academic probation, suspension, or other action arising from a student's academic performance.		

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	SFA100.6.10	Disciplinary Records-Non Expulsion-Students Documentation relating to violations and alleged violations of campus rules, codes of conduct or other institution policies by students. Records relating to all other disciplinary action and those concerning investigations that do not result in disciplinary action.	AC+2		AC+2	BUCKLEY Amendment, Confidential Record. AC=end of the academic term in which the records relate This record group does not include records relating to academic probation, suspension, or other action arising from a student's academic performance.		
	SFA100.6.11	Faculty Activity and Assignment Records Reports and similar records documenting teaching, student advisory, committee, administrative and committee assignments of faculty members	3		3			
	SFA100.6.12	Faculty Development Leave Records Applications for faculty development leaves of absence, evaluations of and recommendations on leave requests, and associated records documenting a faculty development leave program.	AC+3		AC+3	AC=Approval or denial of application		
	SFA100.6.13	Family Medical Leave Requests	AC+5		AC+5	AC= Termination of employment		
	SFA100.6.14	Grants- Applications and Proposals - Funded	AC+4		AC+4	O AC= Grant period ends.		

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	SFA100.6.15	Grants- Applications and Proposals –Not funded	3		3			
	SFA100.6.16	Liability Release Forms/Records	PM		PM		Opinion, SFASU- General Council	
	SF100.6.17	Promotion and Tenure Records Evaluations, recommendations and similar documentation relating to the review process for promotion or tenure for all faculty or staff in tenure track positions.	2		2		By regulation 29 CFR 1602.49 NOTE: Same retention for granted and denied	
	SFA100.6.18	Research Applications	AC+3		AC+3	O	AC= On rejection of application or if accepted until research is completed.	

UNIVERSITY POLICE

	SFA100.7.1	Parking Decal and Permit Records Applications for parking decals, permits or parking lot security entry cards submitted by faculty, staff and students, and related records of issuance.	AC or FE+3		AC or FE+3		AC=Termination of employment	
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	SFA100.7.2	Police - Criminal Offense Reports Investigation reports and notes; witness statements; latent fingerprints; results of chemical analysis and polygraph tests; crime scene, mug shot and other photographs; laboratory reports; arrest reports; citations, affidavits; criminal process; victim impact statements; and other records relating and customary to the investigation of criminal offenses or other violations of state law or local ordinance	PM		PM				
	SFA100.7.3	Police- Daily Report	1		1				
	SFA100.7.4	Police- Incident Reports Reports concerning incidents or complaints that, after investigation, did not appear to have involved the commission of a crime.	2		2	O			
	SFA100.7.5	Police- Tickets Tickets that go to the Justice of the Peace	5		5				
	SFA100.7.6	Police- Traffic Tickets University parking and citation tickets	AC		AC		AC=After ticket is paid		
UNIVERSITY HOUSING									
	SFA100.8.1	Housing-Disciplinary Records	7		7				
	SFA100.8.2	Housing-Residence Life Surveys	2		2				

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	SFA100.8.3	Housing Records	FE+5		FE+5	O	Retention based upon federal requirements for Pell Grant and other Campus based programs. 34 CFR 676.19(c) All audit requirements will be met prior to disposal.		
	SFA100.8.4	Residency Questionnaire- Students	5		5		BUCKLEY Amendment, Confidential Record.		

MISCELLANEOUS RECORDS AND REPORTS

	SFA100.9.1	Athletics--Conference Records	AC		AC	O	AC= Withdrawal from conference		
	SFA100.9.2	Audio Visual (AV) Storage List	US		US				
	SFA100.9.3	AV/ Software List	US		US				
	SFA100.9.4	Copyright Information	US		US				
	SFA100.9.5	Copyright Records	AV		AV				
	SFA100.9.6	Endowment and Gift Income Records	PM		PM	O			
	SFA100.9.7	Library- Circulation Records	US		US				
	SFA100.9.8	Library- Inter Library Loan (ILL) Borrow Requests	AC+4		AC+4		AC= ILL transaction completed		
	SFA100.9.9	Library- ILL Lending Requests	AC+1		AC+1		AC= ILL transaction completed		
	SFA100.9.10	Library - ILL Search Requests	AC		AC		AC=ILL transaction completed		

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	SFA100.9.11	Library - Statistical Compilations Surveys, questionnaires and similar documents used to prepare statistical reports.	AV		AV				
	SFA100.9.12	Tape, Audio- Music Performance Recordings	AV		AV	O			
	SFA100.9.13	Tape, Video- Broadcasts & teleconferencing	AV		AV	O			
	SFA100.9.14	Tape, Video- Presentation, Recruitment, etc.	AV		AV	O			
	SFA100.9.15	Tape, Video- Teleconferencing Files	AV		AV	O			

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