



STATE OF TEXAS

Records Retention Schedule

SLR 105

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2. Agency Code	768	3. Agency Name	Texas Tech University System					
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Category 6: Texas Tech Records Section 6.1 – Police Records							
6.1	513	Campus Crime Statistics (Clery Act) Statistics on criminal homicide; sex offenses; robbery; aggravated assault; burglary; motor vehicle theft; arson; and arrests for liquor law violations, drug law violations and illegal weapons possession. Includes crimes occurring on campus, in or on non-campus buildings or property, and on public property as defined by 34 CFR, Section 668.46(a).	7		7		20 USC, Section 1092(f) and 34 CFR, Section 668.46 (The Clery Act)
6.1	491	Campus Crime Report (Clery Act)	PM		PM		20 USC, Section 1092(f) and 34 CFR, Section 668.46 (The Clery Act).
6.1	258	Police - Accident Records	3		3		Lubbock Municipal Records Manual Item 10.08.
6.1	259	Police - Arrest/Criminal History Records (Adults)	75		75		Arrest reports must be retained 75 years or until the date of death of the individual, if known, for felonies and misdemeanors not punishable by fine only.
6.1	460	Police - Arrest/Criminal History Records (Adults)	6 months		6 months		Arrest reports for Class C misdemeanors must be retained 6 months.
6.1	260	Police - Arrest/Criminal History Records (Juvenile)	AC		AC		AC = Until court ordered expunction or the 25th birthday of the individual. Lubbock Municipal Records Manual Item 10.2.
6.1	261	Police - Communication Logs/Tapes	30 days		30 days		Lubbock Municipal Records Manual Item 10.09.

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6.1	262	Police - Complaint Cards Records of investigation of law enforcement shooting incidents which result in death or injury to any person, including a police officer.	PM		PM	Local Retention Schedule for Records of Public Safety Agencies Item PS4075-01a.		
6.1	469	Police - Complaint Cards Records of investigations that result in sustained formal discipline.	15		15	Local Retention Schedule for Records of Public Safety Agencies Item PS4075-01b.		
6.1	470	Police - Complaint Cards Records of investigations that result in sustained informal discipline or of investigations whose findings are inconclusive.	AC + 5		AC + 5	AC = Retain 5 years, provided a 1 year infraction free period precedes the date of destruction. Local Retention Schedule for Records of Public Safety Agencies Item PS4075-01c.		
6.1	471	Police - Complaint Cards Records of investigations whose findings are not sustained, unfounded, or exonerated.	3		3	Local Retention Schedule for Records of Public Safety Agencies Item PS4075-01d.		
6.1	472	Police - Complaint Cards Written complaints and records of oral complaints received from the public concerning the conduct of law enforcement officers, fire department personnel, and emergency medical personnel that do not lead to an internal affairs investigation.	AC + 2		AC + 2	AC = Determination not to initiate an internal affairs investigation. Local Retention Schedule for Records of Public Safety Agencies Item PS4075-01e.		

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6.1	263	Police - Criminal Offense Records Cases in which an arrest is made or a citation issued and a law enforcement agency has certain knowledge of the pretrial or adjudicated disposition of an arrested or cited person and considers the case to have been cleared by the conviction or acquittal of the person arrested or cited, by the dismissal of charges against the person, or by the entry on the record of a court by a prosecuting attorney of a nolle prosequi. (1) Class C misdemeanors and unclassified violations of state law or local ordinance punishable by fine only (including arrest reports and citations). (2) Class A and B misdemeanors and state jail felonies. (3) Second and third-degree felonies. (4) First-degree and capital felonies. (5) Driving while intoxicated offenses (6) Or, for any classification of offense.	(1) 6 months.		(1) 6 months.	Local Retention Schedule for Records of Public Safety Agencies Item PS4125-05b. CAUTION: a) Retention periods date from date of arrest or citation and are based on the highest classification of offense for which a person is arrested and charged or, if applicable, the highest classification of offense for which a person is tried, whichever the lesser classification. b) Copies of documents in offense investigation records the originals of which are maintained by, filed with, or returned to a court or another state or local law enforcement agency need be retained only as long as administratively valuable. Exceptions are copies of notices or other process that provide certain knowledge to the law enforcement agency of the pretrial or adjudicated disposition of a case.	
6.1	264	Police - Field Interrogation Cards	1		1	Lubbock Municipal Records Manual Item 10.07.	
6.1	265	Police - Gun Check In Records	AV		AV		
6.1	266	Police - Incident Reports	5		5	Lubbock Municipal Records Manual Item 10.06.	

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6.1	267	Police - Officer Call Activity Logs Daily activity log posted on the Police Department's website and maintained on its servers.	1		1		Local Retention Schedule for Records of Public Safety Agencies Item PS4025-01a.	
6.1	268	Police - Property Records (Lost and Found)	AC + 3		AC + 3		AC = Return or disposal of property. Lubbock Municipal Records Manual Item 10.24.	
6.1	269	Police - Statistical Reports Files- Annual	PM		PM			
6.1	270	Police - Statistical Reports Files- Monthly	3		3		Local Retention Schedule for Records of Public Safety Agencies Item PS4025-01b	
6.1	271	Police - Tickets	5		5			

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Category 6: Texas Tech Records Section 6.2 – Archives, Library & Museum							
6.2	6	Accession, Preservation and Deaccessioning Records - Archives, Library & Museum	PM		PM	O	
6.2	49	Bindery Lists	FE + 3		FE + 3		
6.2	492	Collection or Artifact Loan Records Artifact and material loans contracted between units of the institution or between the institution and either other institutions or individuals. These records include: signed and legally binding agreements for incoming and outgoing loans between the collection administrators; receipts for loans and return of materials to the legal holder; and related forms, documentation and correspondence.	AC + 4		AC + 4		AC = Acceptance of return of items per contract terms. If the loan records are found to possess continuing reference or administrative value they can be transferred to the proper donor/accession file within the repository.
6.2	531	Equipment Checkout Records Records documenting the physical control of the library's lending program for equipment to individual borrowers.	FE + 3		FE + 3		

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6.2	517	Exhibition Records Documents the display and use of artifacts and materials held by the collection units or displays created by the units. This series may include but is not limited to: research materials concerning the cultural environmental setting surrounding the artifacts; bibliographies; artifact labels; exhibit scheduling and transport information; contracts and agreements; evaluation forms; condition forms; exhibit assembly and presentation instructions; and related documentation and correspondence.	AC + 7		AC + 7		AC = Termination of exhibit. The curator may elect to keep certain parts of the exhibit records longer for research and teaching purposes.	
6.2	493	Library Catalog	US		US			
6.2	195	Library - Circulation Records	AC		AC		AC = Transaction is completed.	
6.2	516	Library - Courtesy Borrower Records Application forms for guest borrowers of library materials.	AC		AC		AC = Expiration of borrowing privileges and clearing of fines.	
6.2	196	Library - Interlibrary Loan Lending (ILL) Request	AC + 3		AC + 3		AC = Approval or denial of request.	
6.2	198	Library - Interlibrary Loan Lending (ILL) Search Requests	FE + 3		FE + 3			
6.2	199	Library Course Materials	US		US			

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6.2	496	Library Materials Control Records Documents the receipt and payment history for serials purchased by the libraries, as well as including serials data input work form sheets; database reports; item records; and related documentation.	5	5			
6.2	519	Online Exhibits - Digital Files and Webpages AC	AC	AC		AC = Until purpose has been fulfilled and no longer needed.	
6.2	494	Permission History Files Records of the archives and museum granting (or denying) permission to reproduce images of items in the collection. Includes image permission forms and correspondence requesting permission to publish images from archival collections.	AV	AV			
6.2	502	Pull Slips Tracks patron requests for archival materials in the archives and the return of the items to their appropriate storage location.	5	5			
6.2	503	Reading Room Registration Forms Patron registration forms filled out annually by researchers to gain access to the reading room of the Southwest Collection/Special Collections Library to view archival materials.	25	25			

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6.2	495	Reference Request Records Scholarly requests for information about or access to items within the institution's collections, including contact information, correspondence and related documentation.	4		4	Legal References: TSLAC 1.1.064 (Performance Measures Documentation).		

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Category 6: Texas Tech Records Section 6.3 – Academic and Miscellaneous TTU Records									
6.3	1	Academic Calendars	5		5	O			
6.3	12	Accreditation Records Documents the accreditation process for the colleges, units, and related programs. Includes statistical data; working papers; and related documentation and correspondence.	FE + 10		FE + 10		Records kept according to accrediting organization's requirement.		
6.3	13	Accreditation Records – Final Reports	PM		PM	O			
6.3	23	Alumni files	AV		AV	O			
6.3	467	Athletic Records Includes initial and continuing eligibility information, academic information, documentation of participation, tutor evaluation and assessment.	AV		AV	I	Athletic Department to use retention schedule based on NCAA Retention Requirements in addition to State and System Schedule.		
6.3	32	Athletics - Conference Records	10		10	I	Agency policy.		
6.3	33	Athletics - Game Films	AV		AV	O			
6.3	39	Audio/Visual Storage List	US		US				
6.3	40	Audio/Visual Software List	US		US				
6.3	56	Broadcast / Program Logs	FE + 3		FE + 3		47 CFR 73.1800 and 73.1820.		

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6.3	514	Child Care Center Records for Individual Child Folder	AC + 3 months		AC + 3 months	AC = Child's last day in care. 40 TAC §746.603(a)(1-7); 40 TAC §746.603(b)(3)		
						Administrative rules of Department of Family and Protective Services: 40 TAC 746.801 (list of records that must be kept at child-care center); 40 TAC 746.803 (retention of child-care center records) - 3 months required for all records listed in 40 TAC 746.801, except for training records for the current director and caregivers, which must be kept "for at least the current and last full training years" (but not included in this record description, as state employee training records must be kept 5 years after termination of employment under RRS 3.1.027).		
6.3	74	Clark Scholars Program - Application Forms	PM		PM			
6.3	75	Clark Scholars Program - High School Transcripts	PM		PM			
6.3	76	Class Roll Summary	5		5			
6.3	77	Class Rolls and Rosters	5		5			
6.3	78	Classes - Schedule Change Requests	AV		AV			

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6.3	79	Classes - Course Information, Syllabus and Outlines Documents departmental course offerings and individual course contents. Includes syllabi; course descriptions; course outlines; course summaries; course requests and proposals; curriculum approval lists; lists of classes by term; reading lists; handout materials; and related documentation and correspondence.	2	AV	2 + AV	AV = Until no longer needed for reference by the instructor. CAUTION: Syllabi posted on the University's website must be kept available online for 2 years in accordance with Texas Education Code § 51.974.	
6.3	508	Classroom Scheduling Records Documents the commencement program planning and implementation at the institution.	1		1		
6.3	498	Commencement Records Documents the commencement program planning and implementation at the institution.	AC		AC	I AC = for commencement programs keep PM; for working files created by the commencement committee and other planning groups keep 1 year after the event has been held. Transfer only one copy of the published program to the University Archives.	
6.3	84	Consent/Release Forms	AC + 3		AC + 3	AC = Expiration of activity. CAUTION: If litigation is involved the form(s) must be kept according to the terms of 1.1.048.	

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6.3	515	Consent/Release Forms - Child and Youth Program Participant Records This series documents the participation of children and youth in programs sponsored by the institution. The series may include: applications; enrollment records; progress reports and assessments; immunization records; parental consent forms; activity records; lists of attendees; and related correspondence.	AC + 3		AC + 3	AC = Last day of enrollment in the program. CAUTION: If litigation is involved the form(s) must be kept according to the terms of 1.1.048.			
6.3	499	Continuing Education Records Documents course offerings and individual course contents as offered by Continuing Higher Education (also called "extension" classes).	AC + 5		AC + 5	AC = End of the academic term in which the course was offered.			
6.3	87	Copyright Information Documentation kept on materials that may have been used for university activity - such as publishing a book by Tech Press - but to which the university does not own the copyrights to and/or may not own the physical item itself.	AC + 10		AC + 10	AC = After activity is completed.			

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6.3	88	Copyright Records Documentation kept on materials that were done as “work for hire” (created by employees within the scope of their employment) to which the university owns part or full rights to.	AC		AC	AC = 95 years from the work’s first publication or 120 years from its creation, whichever is shorter. Copyright is automatic and does not have to be registered.	
6.3	468	Course Inventory Data Files – Office of Institutional Research Documentation kept by the Office of Institutional Research which is used to track historical information on courses, their credit hours, activity type and other related information.	PM		PM	Agency policy to retain the information permanent.	
6.3	92	Curriculum Records	AV		AV	I	
6.3	95	Dean of Students - Student Information Files	AC + 7		AC + 7	AC = Graduation or withdrawal.	
6.3	97	Death Certificates	PM		PM		
6.3	98	Deceased Student Files	AC + 7		AC + 7	AC = Date of notification of death.	
6.3	102	Departmental Grants, Financial Assistance, and Stipends Funds provided by a department to cover travel and research costs.	AC + 5		AC + 5	AC = Date of award.	
6.3	134	Exam Signup Sheets	US + 1		US + 1		
6.3	139	Faculty Handbooks	US		US	O	

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6.3	140	Faculty Search Committee Records See Texas Tech OP 32.16 section 2a (5), 2c (5), and 3(a) for the list of items to be retained.	AC + 3		AC + 3		AC = Selection. 29CFR1602.49(a)	
6.3	473	Faculty Search Committee Records - Health Sciences Center See Texas Tech Health Sciences Center OP 60.09 section d (5) for the list of items to be retained.	AC + 5		AC + 5		AC = Selection. 29CFR1602.49(a)	
6.3	141	Faculty Teaching/Workload Reports	5		5			
6.3	142	Faculty Tenure Files Evaluations, recommendations, and similar documentation relating to the review process for promotion and tenure for all faculty or staff in the tenure track.	AC + 5		AC + 5	O	AC = Termination of employment. Not to exceed 20 years. 29 CFR 1602.49 for Promotion and Tenure Records	
6.3	530	Holds and Encumbrances Documents used to place and remove holds on registration, student services, or the release of transcripts or other academic data until the subject of the hold/encumbrance takes a specific action.	AC		AC		AC = Date of release.	
6.3	163	Housing - Lodging Requests	1		1			
6.3	165	Human Sciences - Volunteer Registration Forms	AV		AV			

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6.3	166	Human Sciences - Volunteer Station Memoranda of Understanding (contracts)	AC + 4		AC + 4	AC = Termination of employment [contract].	
6.3	167	Human Sciences - Volunteer and Volunteer Stations Information (database)	AV		AV		
6.3	476	Institutional Advancement - Endowment Fund Records	PM		PM	Digital file is the Master and the hardcopy file will be managed by internal policy. See Note 2.	
6.3	150	Institutional Advancement - Fundraising Surveys, Development & Strategic Planning	FE + 7		FE + 7	Central Development determines the document criteria that apply to this record series.	
6.3	153	Institutional Advancement - Gift Receipts	FE + 7		FE + 7	Digital file is the Master. See Note 2.	
6.3	478	Institutional Advancement - Gift Transmittals and Database Records	PM		PM	Digital file is the Master and the hardcopy file will be managed by internal policy. See Note 2.	
6.3	477	Institutional Advancement - Non-Endowment Fund Records	AC + 4		AC + 4	AC = After close of the fund and all contracts, grants and pledges have been settled, then the file will go inactive for 4 years before departmental review. See Note 2.	
6.3	474	Institutional Advancement- Planned Giving Commitments	AC		AC	AC = Maintain the document files until the deferred gift value is realized and the proceeds transferred to an Endowed or Non-endowed fund.	
6.3	178	Key Requests	AC + 3		AC + 3	AC = After keys are returned or locks changed.	
6.3	180	Junction Campus - Public Education Information Management System (PEIMS Forms)	5		5	Local Retention Schedule for Records of Public School Districts item SD3600-01.	
6.3	181	KTTZ-TV Digital Transition (DT) Files	AC + 10		AC + 10	AC = Life of grant.	

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6.3	186	KTTZ-TV Emergency Alert System Logs	CE + 2		CE + 2	FCC requirement. 47 CFR 73.1840(a). CAUTION: It is an exception to the retention period indicated that logs involving communications incident to a disaster or which include communications incident to or involved in an investigation by the FCC and about which the licensee has been notified, shall be retained by the licensee until specifically authorized in writing by the FCC to destroy them. In addition, logs incident to or involved in any claim or complaint of which the licensee has notice shall be retained by the licensee until such claim or complaint has been fully satisfied or until the same has been barred by statute limiting the time for filing of suits upon such claims.		
6.3	184	KTTZ-TV Public Inspection Files	AC		AC	AC = Keep until FCC has notified otherwise. 47 CFR 73.3527.		
6.3	185	KTTZ-TV Record and Dub Requests	CE		CE			
6.3	182	KTTZ-TV Tower Analysis/Maintenance	LA		LA			

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			Agency	Storage	Total	9. Remarks		
6.3	183	KTTZ-TV Transmitter Logs	CE + 2		CE + 2	FCC requirement. 47 CFR 73.1840(a).		
6.3	521	Laboratory Inspection Records - Equipment Checklists and Laboratory Conditions Records	3		3	42 CFR 493.1105 for Laboratory Records.		
6.3	193	Letters of Reference/Recommendations Miscellaneous letters pertaining to TTU activities unrelated to tenure or enrollment.	1		1	CAUTION: For letters of reference/recommendation related to faculty tenure see Faculty Tenure Files (item #142); for staff see Performance Appraisals (3.1.019); and for student enrollment see Student-Applications (item #344).		

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6.3	509	Lecture and Special Lecture Series Records Includes lecture committee notes, memos and planning materials; funding, financial support and honoraria records; patron information; programs and announcements; catering arrangements; news releases; recordings and transcripts; photographs.	AC + 5		AC + 5	O	AC = After lecture is presented.	
6.3	194	Liability Release Forms/Records Waivers of liability signed by students and staff of the university.	AC + 4		AC + 4		AC = Expiration of activity. CAUTION: If litigation is involved the form(s) must be kept according to the terms of 1.1.048.	
6.3	208	Mass Add/Drop Changes	AC + 1		AC + 1		AC = Changes made. Buckley Amendment, confidential record.	
6.3	211	Health Sciences Center: Medical Financial Records related to services – Charge, Payment, Refund Batch Documents, Explanation of Benefits (EOBs)	AC + 10		AC + 10		AC = Date of service or until all audit questions, appeal hearings, investigations or court cases are resolved. Medicaid minimum is 5 years, 1TAC 354.1004; Medicaid Managed Care is 10 years 42 CFR 422.504(d)(2).	

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6.3	215	Health Sciences Center: Medical – Patient Files/Medical Records	AC + 10		AC + 10	AC = Clinical: Last date of service or the patient’s 21 st birthday, whichever is later; Research: Research purposes/goals fulfilled/contract period ends, whichever is later. Any litigation must be concluded before final disposition. Texas Medical Board minimum is 7 years from the last date of service or the patient’s 21 st birthday, whichever is later. 22 TAC 165; Medicaid Managed Care is 10 years (42 CFR 422.504(d)(2))		
6.3	524	Medical- Patient Logs This series is used to log in patients who visit the student health center (both in-patients and out-patients). It may also be used to create annual census reports and 3-year census comparisons. Log information may include: the date and time that the patient came in; the physician assigned; diagnosis; admission/discharge date; length of stay; and remarks.	3		3			

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6.3	525	Pharmacy - Drug Administration Records Inventory and other records of the purchase, acquisition, disposal, or dispensation of drugs as required by federal law and regulations, state law, and the rules of the Texas State Board of Pharmacy.	AC + 2		AC + 2	AC = The later of the date that the record was required to be created, the record was actually created, or the prescription was last filled. 21 CFR 1304.04(a); Health and Safety Code, Section 481.067(c); 37 TAC 13.207. CAUTION: By federal regulation, inventories and records of all controlled substances must be maintained separately from all other records of the pharmacy.					

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6.3	526	<p>Pharmacy Prescription File Paper prescription slips or electronic prescription records for controlled substances maintained in accordance with federal law and regulations, state law, and the rules of the Texas State Board of Pharmacy.</p>	AC + 2		AC + 2	<p>AC = The later of the date that the record was required to be created, the record was actually created, or the prescription was last filled.</p> <p>21 CFR 1304.04; Health and Safety Code, Section 481.075(i)(2); Health and Safety Code, Section 483.023; 37 TAC 13.207.</p> <p>CAUTION: By federal regulation, paper prescriptions for Schedule II controlled substances shall be maintained in a separate prescription file. Paper prescriptions for Schedules III, IV, and V controlled substances shall be maintained either in a separate prescription file for Schedules III, IV, and V controlled substances only or in such form that they are readily retrievable from the other prescription records of the pharmacy. Electronic records must be readily retrievable at the registered location if requested by the Drug Enforcement Administration (DEA) or other law enforcement agent. An electronic application storing prescription data must be capable of printing out or transferring the records in a format that is readily understandable to a DEA or other law enforcement agent at the registered location. Electronic copies of prescription records must be sortable by prescriber name, patient name, drug dispensed, and date filled.</p>
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6.3	454	Health Sciences Center: Medical Records – Hansen’s Disease	PM		PM		Records are of research significance and must be maintained permanently. Texas Department of State Health Services Retention Schedule for Medical Records.	
6.3	455	Health Sciences Center: Master Patient Index	PM		PM		Texas Department of State Health Services Retention Schedule for Medical Records.	
6.3	226	Northwest Texas Small Business Development Center- Client Files	FE + 3	AV	FE + 3 + AV		Office of origin is responsible for arranging storage.	
6.3	458	Office of Institutional Research - Student Retention Reports and Information	AV		AV			
6.3	459	Office of Institutional Research - Integrated Postsecondary Education Data System (IPEDS) Federal reports submitted to the state.	17	3	20		Agency policy.	
6.3	234	Organizational Memberships	1		1			
6.3	235	Orientation Material	US + 1		US + 1		Office of origin retains record copy .	
6.3	237	Outreach and Distance Education [IDEAL Program] - Enrollment records non-credit programs for k-12 children	3		3			
6.3	238	Outreach and Distance Education [IDEAL Program] - Marketing Record Book	5		5			
6.3	239	Outreach and Distance Education [IDEAL Program] - Scholarships for K-12 non-credit activities	5		5			

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6.3	279	Professional Organizations - Non-Texas Tech Includes handouts, newsletters, brochures, meeting programs and agendas, subscriptions, membership information, etc.	AV		AV	CAUTION: These materials are disposable when no longer needed and should not be sent to the University Archives.	
6.3	280	Professional Organizations - Texas Tech Includes handouts, newsletters, brochures, meeting programs and agendas, subscriptions, membership information, etc.	AV		AV	O	
6.3	290	Questionnaires and Surveys	AV		AV		
6.3	302	Registration Logs and Rosters Logs or sign-in sheets for meetings, conferences and special events	AV		AV		
6.3	335	Student Affairs - Student Services Fees Request	FE + 3		FE + 3		
6.3	415	Surveillance/Security Tapes	AC + 6 months		AC + 6 months		AC = After date recorded.
6.3	417	Tape, Audio - Music Performance Recordings	AV		AV	O	
6.3	418	Tape, Audio - Presentation, Recruitment, etc.	AV		AV	O	
6.3	419	Tape, Video - Broadcasts and Teleconferencing	AV		AV	O	
6.3	420	Tape, Video - Presentation, Recruitment, etc.	AV		AV	O	
6.3	421	Tape, Video - Teleconferencing Files	AV		AV		
6.3	422	Teleconference Information	AV		AV		
6.3	425	Textbook Adoption Records	3		3		

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6.3	444	Vice-President for Research - Federal Initiatives (Redbook) Information compiled for use for legislative initiatives	AV		AV			

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Category 6: Texas Tech Records Section 6.4 – Research and Patent Records							
6.4	505	Animal Breeding and Management Records Records relating to the care, management, and breeding of animals for research and teaching purposes.	AC		AC		AC = Death of animal or transfer to another institution.
6.4	24	Animals - Research/Laboratory Records	AC + 4		AC + 4		AC = End of project. 9 CFR 2.35
6.4	125	Equipment and Dyeing Formulas - International Textile Center	PM		PM		
6.4	506	Institutional Animal Care and Use Committee (IACUC) Records Includes records of attendance, actions of the committee, requests for approval to use animals in a research project made by the principal investigators, subsequent actions on the requests, and semiannual reports.	AC + 3		AC + 3		AC = Completion of research. 9 CFR 2.35
6.4	507	Institutional Animal Care and Use Committee (IACUC) Meeting Minutes and Agendas	3		3		9 CFR 2.35
6.4	244	Patents, Trademarks, Research Records, and Records Reflecting Usage	AC + 20		AC + 20		AC = After receipt of patent, and registration of trademark.
6.4	281	Project Information and Contracts - International Textile Center	AC + 7		AC + 7		AC = Project completion.
6.4	312	Research Applications	AC + 3		AC + 3	O	AC = Approval or rejection of application.

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			Agency	Storage	Total	9. Remarks		

6.4	313	Research Data	PM	PM	Confidential until published.		
6.4	314	Research Data - Raw	AC + 3	AC + 3	AC = Completion of project.		
6.4	315	Institutional Review Board (IRB) Records – Human Subjects	AC + 3	AC + 3	AC = Completion of project. 45 CFR 46.115(b).		
6.4	316	Research Specimens - Non-Animal Research/Laboratory Records	AC + 3	AC + 3	AC = Completion of project.		

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Category 6: Texas Tech Records Section 6.5 – Student Records							
6.5	336	4th and 12th Class Day Reports	5		5		Buckley Amendment, Confidential record.
6.5	2	Academic Testing Services - ACCUPLACER Applications and Scores [Master copies]	PM		PM		Buckley Amendment, Confidential record.
6.5	3	Academic Testing Services - American College Test (ACT) Residual Applications and Scores [Master copies]	PM		PM		Buckley Amendment, Confidential record.
6.5	4	Academic Testing Services - College-Level Examination Program (CLEP) Score Rosters [Master copies]	PM		PM		Buckley Amendment, Confidential record.
6.5	5	Academic Testing Services - Student Exam Scores and Reports (Internal) for Admission and Placement Applies to exams, applications for exams, and related materials administered and monitored by Academic Testing Services. Includes CLEP, correspondence applications, ACT Residual Applications and Scores, and Quick TASP/Quick THEA Applications.	AC + 5		AC + 5		AC = Testing Date. Buckley Amendment, Confidential record.
6.5	337	Academic Records – College/Departmental Student Files	AC + 5		AC + 5		AC = Graduation or date of last attendance. Buckley Amendment, Confidential record.
6.5	338	Academic Records – Registrar’s Files	PM		PM		Buckley Amendment, Confidential record.

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6.5	339	Academic Status Reports Documents student academic standing, including academic deficiency and the status changes of academically deficient students.	PM		PM	Buckley Amendment, Confidential record.	
6.5	340	Academic Suspension Waiver	PM		PM	Buckley Amendment, Confidential record.	
6.5	341	Add/Drop Class Records	AC + 5		AC + 5	AC = Graduation or date of last attendance. Buckley Amendment, Confidential record.	
6.5	342	Academic Advisement Records Records of academic advisement to students. May include advisors' notes, advising checklists, and convenience copies of grade records maintained by registrars.	AC + 5		AC + 5	AC = Graduation or date of last attendance.	
6.5	343	Applications for Admissions-Enrolled/accepted Includes transcripts, acceptance letters, advanced placement records, applications for admission, correspondence, entrance examination reports, letters of recommendation, medical records, placement scores, readmission forms, and test scores.	AC + 5		AC + 5	AC = Graduation or date of last attendance. Buckley Amendment, Confidential record. (Students may have access to admissions comments).	

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6.5	344	Applications for Admissions- Not enrolled and/or rejected Includes transcripts, acceptance letters, advanced placement records, applications for admission, correspondence, entrance examination reports, letters of recommendation, medical records, placement scores, readmission forms, and test scores.	AC + 1		AC + 1		AC = Beginning of semester of application. Buckley Amendment, Confidential record. (Students may have access to admissions comments).	
6.5	345	Applications for Admissions- Not enrolled and/or rejected - Health Sciences Center	AC + 3		AC + 3		AC = Beginning of semester of application. Buckley Amendment, Confidential record. (Students may have access to admissions comments).	
6.5	347	Athletic Eligibility Records	AC + 1		AC + 1		AC = After certification. Buckley Amendment, Confidential record.	
6.5	348	Athletic Player Files	AC + 3		AC + 3	O	AC = Graduation or last day of attendance.	
6.5	349	Attendance Records	1	4	5		Buckley Amendment, Confidential record. Office of origin is responsible for arranging storage.	
6.5	350	Authority to Inspect Records	AV		AV			
6.5	351	Change of Status Forms	AC + 5		AC + 5		AC = Graduation or date of last attendance.	
6.5	352	Class Roll Summary	1	4	5		Office of origin is responsible for arranging storage.	
6.5	353	Class Schedules - Preparation Records	1	4	5		Office of origin is responsible for arranging storage.	
6.5	497	Class Schedules and Catalogs Official schedule of classes and descriptions of courses offered.	PM		PM	I		

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6.5	480	Class Schedules – Students Listing of the classes registered for by an individual student for a particular semester.	AC+1		AC+1	AC = After graduation or non-attendance.	
6.5	354	Comprehensive Exams	AV		AV		
6.5	355	Counseling Notes	AC + 7		AC + 7	AC = After last session attended. 22 TAC § 681.41(q) and 22 TAC § 465.22(d)	
6.5	356	Course Equivalencies	US + 1		US + 1		
6.5	359	Curriculum Change Records Documents student requests to change their field of study.	AC + 5		AC + 5	AC = After graduation or non-attendance.	
6.5	360	Data Sheets	AC		AC	AC = Graduation or date of last attendance.	
6.5	361	Degree Audit and Application for Graduation Records Documents student completion of degree requirements, including authorizations certifying completion of degree requirements. The series may include official graduation audit forms that list students' names; colleges; majors; degrees; minors; the breakdown of institutional degree requirements and how the applicants have fulfilled them; grade point averages; and deans' recommendations/comments and signatures.	AC + 5		AC + 5	AC = Graduation or date of last attendance. Buckley Amendment, Confidential record. AACRAO guidelines.	
6.5	362	Degree Plans	PM		PM	Buckley Amendment, Confidential record.	

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6.5	500	Degree Program and Course Proposal Files Documents planning and discussions related to the implementation of new undergraduate and advanced degree programs and any major reorganization or changes to established programs. Includes final reports; curriculum committee meeting minutes; curriculum proposals; and reviews of individual degree programs by campus and off-campus sources.	PM		PM	I	Curriculum development files should be kept 5 years. JC 3900-01.	
6.5	358	Degree Program and Course Proposal - Working Files Documents planning and discussions related to the implementation of new undergraduate and advanced degree programs and any major reorganization or changes to established programs Includes the working papers; letters of support; review agendas; faculty status reports; and related documentation and correspondence.	5		5		Curriculum development files should be kept 5 years. JC 3900-01.	
6.5	363	Disciplinary Records Documents actions taken by the institution against a student, including expulsion and suspension.	AC + 7		AC + 7		AC = Graduation or withdrawal. Buckley Amendment, Confidential record.	

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6.5	364	Enrollment Statistics Annual statistical reports of enrollment, grades, graduates, racial/ethnic composition, student instructor ratios, and other education-related matters submitted to the governing body, state or federal agencies, or accrediting organizations.	PM		PM	I	PM for all final reports and 5 years for all other records. Retention period based on AACRAO guidelines for enrollment statistics.
6.5	365	Enrollment Verification	AC + 1		AC + 1		AC = Verification. Buckley Amendment, Confidential record. However, student directory information which includes names, on-campus address, D.O.B. and major is public information.
6.5	366	Evaluations of Course Instructor	6		6		Texas Tech's Operating Policy 32.32 paragraph 3(c).
6.5	367	Evaluations of Course Instructor Reports	6		6		
6.5	368	Exam Make Up Request	2		2		
6.5	369	Exam Scantrons & Reports	1		1		
6.5	370	Excused Absence Requests	1		1		
6.5	483	Faculty/Instructor Grade Books Per the TTU <i>Faculty Handbook</i> , grade records should be kept for at least four calendar years and are defined as "grade books, computer and non-computer-generated grade sheets, and other such materials that permit a reconstruction of a student's graded performance in a course."	AC + 4		AC + 4		AC = Close of semester. See also Student Papers, Class Examinations, and Tests Completed as Part of Course Work.

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			Agency	Storage	Total	9. Remarks		
6.5	481	Family Educational Rights and Privacy Act (FERPA) Documents Student information release requests and consent authorizations or denials in accordance with the Family Educational Rights and Privacy Act. Includes requests for nondisclosure of directory information; requests for release of personally identifiable information; records of disclosures made to third parties; requests for formal hearings; student statements regarding hearing panel decisions; written decisions of the hearing panel; written consent of the student to disclose records; waivers for rights of access; and related documentation and correspondence.	AC + 1		AC + 1		AC = Life of the affected record or until student terminates waiver for written consent of the student to disclose records and waivers for rights of access.	
6.5	484	Fee Assessment and Collection Records Records evidencing the assessment and collection of tuition and fees charged to and collected from each student.	AC + 5		AC + 5		AC = After graduation or non-attendance.	
6.5	504	Graduation – Diploma Administration Records Includes records of diplomas picked up in person, mailed, and returned.	AC + 1		AC + 1		AC = Request fulfilled.	

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6.5	501	Grievance/Complaint by Student Pertains to discriminatory harassment related issues. Does not pertain to grade or FERPA disputes.	AC + 7		AC + 7	AC = Closure of grievance. Based on AACRAO guidelines.	
6.5	374	Grade Changes Documents grade changes submitted by instructors through the academic departments to the Registrar.	AC		AC	AC = Permanent for the Registrar's copy; all other copies to be retained for semester's end + 2 years. Buckley Amendment, Confidential record. Retention period based on AACRAO guidelines.	
6.5	375	Grade Reports Sent to Students Grades received by students for the term.	AC + 1		AC + 1	AC = Date distributed. Buckley Amendment, Confidential record. Retention period based on AACRAO guidelines.	
6.5	376	Grade Sheets (Original) Grades awarded by instructors and serves as the basis for students' official academic records.	PM		PM	Buckley Amendment, Confidential record. CAUTION: This retention period applies to Registrar's Office copy. Departmental copies of grade sheets are convenience copies.	
6.5	377	Graduation Status and Ranking	PM		PM	Buckley Amendment, Confidential record. Retention period based on AACRAO guidelines.	
6.5	532	Hazlewood Act Documentation Documents eligibility to claim the Hazlewood exemption and institutional records to track benefit hours claimed.	PM		PM	Texas Education Code §54.058 (Hazlewood Act), 19 TAC 21.85	

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6.5	490	Holds and Encumbrances Documents used to place (and remove) holds on the release of transcripts or other academic data.	AC		AC		AC = Until release of the hold authorization.	
6.5	378	Housing Records Includes housing requests, signed housing policies/contracts, driver's license forms, reservation/housing agreements, deposit receipts, rent delinquent notices, vacating notices, student incident reports, and related documentation and correspondence.	FE + 5		FE + 5			
6.5	379	ID Request	AC + 1		AC + 1		AC = Request received. Buckley Amendment, Confidential record.	
6.5	380	ID System [University] Includes name, ID number, meal plan, Techexpress plans, classification, address, access privileges both building and student access to facilities such as rec., student health, ethnicity, gender, etc.	AC + 4		AC + 4		AC = After last enrollment.	

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6.5	520	Intramural Sports Waivers Documents the legally and medically informed status of students, faculty, and staff participating in intramural sports activities. This form affirms that participants have been informed that they are not covered by the institution for injury or other medical situations and have been advised to seek private insurance.	AC + 3		AC + 3		AC = Conclusion of the intramural sports season.	
6.5	382	Military Training, Credit for	AV		AV		Buckley Amendment, Confidential record.	
6.5	383	Name Change Authorizations Documents students or applicants name changes reported to the admissions or registrar's offices by students. Records may include but are not limited to: letters requesting change in name; name change forms; lists or reports of students with changed names; and related documentation and correspondence.	AC + 5		AC + 5		AC = Request received. Buckley Amendment, Confidential record.	

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6.5	522	<p>Non-Institutional Student Records Documents and tracks the application, selection, and progress in special instructional programs of elementary through high school and non-institution students belonging to special, minority, or disadvantaged groups. Examples of programs to which this series applies are Science and Mathematics Investigative Learning Experiences (SMILE), Upward Bound, High School Equivalency, and other non-institution programs. Includes: application and admission documentation; personal and family information; medical and health documentation; selection and decision making documentation; Educational Opportunity Program (EOP) documentation; notification of admission and non-admission; recommendations and evaluative materials; copies of academic records; counseling and advising notes and documentation; housing and conduct documentation; federal student aid reports; risk release and insurance forms; immigration and citizenship documentation; financial responsibility records; reports; and related documentation and correspondence. Portions may be exempt from disclosure.</p>	AC + 3		AC + 3	AC = Separation from program.	
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Archival Codes (Field 8)

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6.5	384	Requests for and Disclosures of Personally Identifiable Information	AC		AC	AC = Permanent as long as disclosed information is maintained. Buckley Amendment, Confidential record.	
6.5	482	Requests for Nondisclosure of Directory Information	AC		AC	AC = Permanent or until terminated by the student.	
6.5	385	Pass/Fail Records	AC + 1		AC + 1	AC = Graduation or withdrawal. Buckley Amendment, Confidential record.	
6.5	386	Permits for Admission to Register	AV		AV	Buckley Amendment, Confidential record.	
6.5	387	Placement and Career Counseling	AC + 5		AC + 5	AC = Termination of counseling. Buckley Amendment, Confidential record.	
6.5	388	Academic Action Authorizations Authorizations for academic actions, such as academic probation, suspensions, dismissals, reinstatements, etc.	AC + 5		AC + 5	AC = Graduation or date of last attendance. Buckley Amendment, Confidential record.	
6.5	390	Recognition (Awards, etc.)	AC + 3		AC + 3	O AC = Issuance of award or recognition.	
6.5	391	Recruitment Records Includes prospects lists; interview and conversation notes; photographs; personal information forms and resumes; test scores; academic transcripts; and related documentation and correspondence.	AC + 1		AC + 1	AC = After application term. Buckley Amendment, Confidential record.	
6.5	528	Registration Audit Records (SFRSTCA Table)	AC + 3		AC + 3	AC = Graduation or date of last attendance. Buckley Amendment, Confidential record.	
6.5	529	Registration Records (SFRSTCR Table) – Has Extender Documentation	PM		PM	AC = Graduation or date of last attendance. Buckley Amendment, Confidential record.	

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6.5	392	Students - Reports Reports generated by departments that do not fall in other categories such as admissions, grades, financial aid, etc.	5		5	Buckley Amendment may apply depending on the contents of the report.	
6.5	393	Residency Affidavits and Documentation Documents declarations filed by students regarding state residency status which is critical for determining tuition status. Records may include but are not limited to: affidavits; correspondence regarding residency; and related documentation.	AC + 6		AC + 6	AC = After submission. Texas Education Code §54.052. CAUTION: Not for residency classification forms submitted by applicants as part of the admissions process. See item 343.	
6.5	394	Scholarship Applications (Rejected)	AC + 1		AC + 1	AC = Selections. See also Students - Financial Aid Records. Buckley Amendment, Confidential record.	
6.5	395	Scholarship Records (Departmental)	AC + 3		AC + 3	AC = Selections. Buckley Amendment, Confidential record.	
6.5	396	Scholarship Records (Federal)	AC + 5		AC + 5	AC = Selections. Federal Register, 1-19-81, Part 3, Dept. of Education, Vol. 46, No. 12, 672.19, P3C. Buckley Amendment, Confidential record.	
6.5	320	Scholarships: Awarded - Departmental	AC + 3		AC + 3	AC = Selection.	
6.5	487	Scholarships: Administrative Records – Departmental Includes documentation of the establishment of the fund, correspondence regarding the scholarship program, list of recipients, etc.	AC		AC	AC = After termination of the program.	

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6.5	397	Scores and Reports (External), Admission	AC + 5		AC + 5	AC = Selections. Buckley Amendment, Confidential record.		
6.5	399	Stipend Acceptance Forms	10		10			
6.5	381	Foreign Student Records Records dealing with F-1 students and the J student and scholar program, including passport, I-20 and documents of financial responsibility.	AC + 3		AC + 3	AC = Completion of the immigration program and/or from the date of the denial if the reinstatement is denied. 8 CFR 214.3(g)(1) and (2) and CFR 62.10(h).		
6.5	486	Student Internship Program Records	AC		AC	AC = a) Applications of students not admitted into internship programs are kept FE+1; b) Records of students admitted to internship programs should be kept AV as long as they are valuable for credentialing purposes; and c) Financial records associated with payment for student expenses should be kept FE+3 for auditing purposes.		
6.5	475	Student Papers, Class Examinations and Tests Completed as Part of Course Work	AV		AV	SEE also Faculty/Instructor Grade Books.		
6.5	398	Students - Statistics Historical information gathered on the student makeup of the university, including degrees given and racial/ethnic information.	PM		PM	O		

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6.5	400	Student Organizations Historical information documenting the activities of the organization, including membership rosters, annual reports, memos, scrapbooks, photographs and related memorabilia.	AV		AV	O		
6.5	401	Student Teaching Documents the preparation of students earning degrees and/or certification for licenses or certificates to enter a profession (e.g., teaching certificates) and forms the basis of the initial certification by external entities for various professions.	AC + 10		AC + 10		AC = Completion of teaching.	
6.5	479	Student Certification Records - Professional Documents the preparation of students earning degrees and/or certification for licenses or certificates to enter a profession (e.g., teaching certificates) and forms the basis of the initial certification by external entities for various professions.	AC + 1		AC + 1		AC = Certification. CAUTION: Accrediting agencies may require longer retention periods for professional certification records.	
6.5	488	Student Certification Records - Academic Documents student completion of certificate programs offered by university academic programs.	PM		PM			
6.5	402	Test Materials (External)	US		US			
6.5	403	Tests - Student Academic	AC + 1		AC + 1		AC = After test administered. Buckley Amendment, Confidential record.	

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6.5	489	Theses and Dissertations Final and accepted graduate publication to fulfill degree requirements.	PM		PM	Permanent hard copies before 2005 reside with the University Archives. After 2005, the official copy becomes the electronic version maintained by the Texas Tech University Libraries.				
6.5	404	Transcript Requests	AC + 1		AC + 1	AC = Date submitted. Buckley Amendment, Confidential record.				
6.5	405	Transcripts	PM		PM	Buckley Amendment, Confidential record. Retention period based on TACRAO guidelines for academic records.				
6.5	406	Transcripts of Applicants Who Did Not Attend and/or Get Accepted	AC + 1		AC + 1	AC = Date received. Buckley Amendment, Confidential record.				
6.5	485	Tuition Exemption Records Applications for and supporting documentation evidencing the grant of tuition exemptions or remissions.	AC+3		AC+3	AC = End of award year.				
6.5	512	Tuition Rebate and Supporting Documentation	AC + 5		AC + 5	AC = Graduation or last semester enrolled.				
6.5	407	Veterans Affairs Records	AC	3	AC + 3	AC = Graduation or date of last Attendance.				
6.5	408	Waivers for Rights of Access	AC		AC	AC = Until terminated.				
6.5	409	Withdrawal Authorizations	AC + 3		AC + 3	AC = End of academic term in which enrollment terminated. Local schedule Item JC3725-12.				

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Category 6: Texas Tech Records Section 6.6 – Financial Aid Documents							
6.6	371	Financial Aid Assistance Records	AC + 3		AC + 3	AC = Current award year. All audit requirements will be met prior to disposal. Office of origin is responsible for arranging storage.	
6.6	461	Federal Parent Loan for Undergraduate Students (PLUS) Loan Program	AC + 3		AC + 3	AC = End of loan period for which loan was intended. 34 CFR 682.610(a)(2)	
6.6	462	Pell Grants	AC + 3		AC + 3	AC = End of award year. 34 CFR 690.82(a)	
6.6	463	Perkins Loan Program – National Direct Student Loan (NDSL) – Original Promissory Notes	AC + 3		AC + 3	AC = Until loan is satisfied or documents are needed to enforce obligation. 34 CFR 674.19(e)(4)	
6.6	464	Perkins Loan Program (NDSL) – Loans Repaid	AC + 3		AC + 3	AC = Date of final payment. 34 CFR 674.19(e)(3)	
6.6	465	Primary Care Loan Program Health profession and nursing student loan programs.	AC + 5		AC + 5	AC = Date of retirement of loan. 42 CFR 57.215(c) and 42 CFR 57.315(a)(3)	
6.6	466	Supplemental Educational Opportunity Grants (SEOG)	AC + 3		AC + 3	AC = Submission of Fiscal Operations Report and Application to Participate (FISAP report). 34 CFR 676.19	
6.6	410	Work-Study: Certificates of Payment	AC + 3		AC + 3	AC = Submission of FISAP report. All audit requirements will be met prior to final disposal. 34 CFR 675.19.	

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