



THE TEXAS A&M UNIVERSITY SYSTEM

RECORDS RETENTION SCHEDULE

| Records Series Item No. | Agency Item No. | Record Series Title | Retention Period | Archival | Remarks |
|-------------------------|-----------------|--|------------------|----------|---|
| 2.2.014 | 02.207.10 | 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 | | 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). |
| 2.2.015 | 02.208.10 | 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 generated a record of a usage of a state-owned computer. | 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 | 02.209.10 | Software Registrations, Warranties and Licensee Agreements | LA+3 | | |

PERSONNEL RECORDS

Section 3.1 – Employee Records

| | | | | | |
|---------|-----------|--|---|--|---|
| 3.1.001 | 03.100.10 | Applications for Permanent 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 ad. | 2 | | Includes Temporary Employment 29 CFR § 1602.31 (State Agencies); 29 CFR § 1602.49(a) (State Universities) |
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| 3.1.002 | 03.101.10 | Applications for Permanent Employment – 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 ad. | AC+5 | | Includes Temporary Employment and Certificate of Age (minor workers) AC=Termination of Employment |
| 3.1.006 | 03.102.10 | Employee Counseling Records – Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. | AC+3 | | AC = Termination of Counseling Period is AC+10 if counseling provided by, and records kept by a licensed psychologist as required by Tex. Admin. Code § 465.22 (d)(2). |
| 3.1.011 | 03.103.10 | Employee's Insurance File – Copies of information relating to the selection by employees of life, disability, health, and other types of insurance. | 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 | 03.104.10 | Employment Opportunity Announcements – Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime. | 2 | | 29 CFR § 1602.31 (State Agencies) 29 CFR § 1602.49(a) (State Universities) |
| 3.1.013 | 03.105.10 | Employment Contracts | AC+4 | | AC=Expiration or termination of the contract according to its terms. |

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| 3.1.014 | 03.106.10 | Employment Selection Records - Hired Includes notes of interviews with candidates; audio and videotapes of job interviews; background check consent forms and previous injury checks; pre-employment physical examinations; polygraph examination results; and all other records that document the selection process. See 3.1.026 for security clearances on hired applicants. | AC+5 | | AC=Termination of Employment CAUTION: Does not include criminal history checks. See item number 3.1.026 |
| | 03.106.20 | Employment Selection Records – Not Hired Includes notes of interviews with candidates; audio and videotapes of job interviews; background check consent forms and previous injury checks; pre-employment physical examinations; polygraph examination results; and all other records that document the selection process. | 5 | | |
| 3.1.018 | 03.107.10 | Grievance Records – Records relating to the review of employee grievances against personnel policies, working conditions, etc. | AC+5 | | AC=Termination of Employment CAUTION: Does not include formal complaints filed by an employee with the Equal Employment Opportunity Commission. See Item Number 1.1.048 |
| 3.1.019 | 03.108.10 | Performance Appraisals | AC+5 | | AC=Termination of Employment. See Agency item number 03.108.20 for Faculty performance evaluations. |

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| | 03.108.20 | Faculty Performance Records (Promotion, tenure, post-tenure review) | AC + 5 | | AC=Termination of Employment |
| 3.1.020 | 03.109.10 | Personnel Corrective Action Documentation (does not affect pay, status or tenure) | AC+5 | | AC=Termination of Employment |
| 3.1.021 | 03.110.10 | Personnel Disciplinary Action Documentation (affects pay, status or tenure) | AC+5 | | AC=Termination of Employment |
| 3.1.022 | 03.111.10 | Personnel Information or Action Form – 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. | AC+5 | | Form 500 AC=Termination of Employment |
| 3.1.024 | 03.114.10 | 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 = Until superseded or termination of employment. CAUTION: Does not include pre-employment physical examinations. See item number 3.1.014 |
| | 03.114.20 | Alcohol and Controlled Substance Testing and Prevention programs | AV | | AV = In accordance with applicable federal requirements. |

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| 3.1.026 | 03.115.10 | Criminal History Checks – Criminal history record information on job applicants or agency employees. | AC | | AC = The criminal history record has served the immediate purpose for which is obtained. NOTE: See agency item numbers 03.106.10 and 03.106.20 for criminal history background check consent forms. |
| 3.1.027 | 03.116.10 | 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=Termination of Employment |
| 3.1.029 | 03.117.10 | Documentation or Verification of Employment Eligibility Federal reporting form (INS I-9) | AC+1 | | 8 CFR § 274a.2 (b)(2)(i)(A), (c)(2) 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 is 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. |

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| 3.1.031 | 03.118.10 | Employee Benefits - Other than Insurance – Agency copies of information relating to the selection of available benefit options other than insurance | 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 | 03.119.10 | Resumes – Unsolicited – Retention period applies if replies are made to the sender of resume stating that it will be kept on file for future job openings. | AV | | See item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process. |
| 3.1.035 | 03.120.10 | 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. (Does not include construction and architectural surety bonds - See 5.2.028) | 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 | 03.121.10 | 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 | | 29 CFR § 30.8(e) |
| 3.1.037 | 03.122.10 | Employee Recognition (awards, incentives, tenure, etc.) | AC+ 5 | | AC=Termination of Employment |

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| 3.1.038 | 03.123.10 | 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 | | See item number 3.3.001 |
| 3.1.039 | 03.124.10 | Ombudsman Records – Consultation records, notes, letters, memos, emails, reports and other documentation | 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 in subject to disciplinary action, the records that are subject to retention are the appropriate records series. SEE 1.1.048, 3.1.018, 3.1.020, and 3.1.021. |
| Section 3.2 - Payroll | | | | | |
| 3.2.001 | 03.200.10 | 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=After termination of employee or after amendment, expiration, or termination of authorization, whichever is sooner |
| 3.2.002 | 03.201.10 | Employee Earning Records | AC+5 | | AC= End of calendar year of termination of employment. |

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| 3.2.003 | 03.202.10 | Federal Tax Records (1099, W-2, and other tax records) | AC+4 | | AC = Tax due date, date claim is filed, or date tax is paid whichever is later. 26 CFR § 31.6001-1(e)(2) |
| 3.2.004 | 03.203.10 | Income Adjustment Authorization – Used to make increases or decreases to employees’ gross pay, FICA, retirement, or in the computation of taxes. | 2 | | 29 CFR § 516.6(c) |
| 3.2.005 | 03.204.10 | W-4 Forms – Employer’s copy of “Employees’ Withholding Exemption Certificate.” | AC+4 | | AC = Until superseded, obsolete, or upon separation of employee. 26 CFR § 31.6001-1 (e) (2) |
| 3.2.006 | 03.205.10 | Wage Rate Tables | 2 | | 29 CFR § 516.6(a)(2) |
| 3.2.007 | 03.206.10 | Unemployment Compensation | AC+5 | | AC = Settled |
| 3.2.008 | 03.207.10 | Direct Deposit Applications/Authorization | US | | |
| 3.2.009 | 03.208.10 | State Deferred Compensation Records | AC+5 | | AC=All accounts with a vendor or vendors for the individual participant have been closed For instruction 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 TX. |

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| 3.2.010 | 03.209.10 | Human Resource Information System (HRIS) Reports and supporting documentation. | AC+4 | | |
| Section 3.3. – Personnel Administration | | | | | |
| 3.3.001 | 03.300.10 | Affirmative Action Plans – for both regular employees and apprenticeship programs | 5 | | 29 CFR § 30.8(e) For apprenticeship plans |
| 3.3.004 | 03.301.10 | Benefit Plans – Employee benefit plans such as pension, live, health, and disability insurance; deferred compensation; etc., including amendments. | US+1 | | 29 CFR § 1627.3(b)(2) Includes Group Insurance Records. |
| 3.3.010 | 03.302.10 | Labor Statistics Report – Reports providing statistical information on labor force. | 3 | | |
| 3.3.011 | 03.303.10 | Former Employee Verification Records - Minimum information needed to verify employment includes name, SSN, exact dates of employment, last known address and most recent public access option form. | AC+75 | | AC=Termination of Employment. See item number 3.1.038 |
| 3.3.015 | 03.304.10 | Positions/Job Classification Review File – Records relating to review and monitoring of job classifications within an agency. | US+3 | | |
| 3.3.020 | 03.305.10 | Work Schedules/Assignments – Work, duty, shift, crew, or | 2 | | |
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| | | case schedules, rosters, or assignments. | | | |
| 3.3.022 | 03.306.10 | Texas Workforce Commission (TWC) - Reports from TWC to the agency or its predecessor pertaining to employees. | 3 | | |
| 3.3.023 | 03.307.10 | Reimbursable Activities, Requests and Authorizations in which to Engage – Request and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed. | FE+3 | | Includes request for tuition assistance. |
| | 03.307.20 | External employment/Consulting – Includes requests for approval, authorizations, internal disclosures related to such activities. | FE+3 | | |
| 3.3.024 | 03.308.10 | 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 | | |
| 3.3.025 | 03.309.20 | Job Procedure Records – Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis. | US+3 | | |
| 3.3.026 | 03.310.10 | 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 | US+3 | | |

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| | | organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc. | | | |
| 3.3.027 | 03.311.10 | Aptitudes & Skills Tests and Test Papers – Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer. | US+2 | | 29 CFR 1602.31(a) (State Agencies) 29 CFR 1602.49(a) (State Universities) Caution: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated. |
| 3.3.029 | 03.312.10 | Aptitude and Skills Test (Validation Records) | AC+2 | | AC = As long as the test is used by an agency 29 CFR § 1602.31 (State Agencies) 29 CFR § 1602.49(a) (State Universities) |
| 3.3.030 | 03.313.10 | Training Administration Records | US+2 | | Caution: Does not include hazardous material training records. See item number 5.4.007. |
| 3.3.031 | 03.314.10 | EEO Reports and Supporting Documentation – Includes documentation used to complete EEO reports | 3 | | 29 CFR § 1602.32, 48 and 50 |
| 3.3.032 | 03.315.10 | 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 | | 29 CFR § 1620.32 |

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| Section 3.4 – Time and Leave Records | | | | | |
| 3.4.001 | 03.400.10 | Accumulated Leave Adjustment Request – 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. | 4 | | |
| 3.4.002 | 03.401.10 | Leave Status Report (each pay cycle) – Cumulative report is issued pay cycle and provides employee leave status information for each position. | 4 | | |
| 3.4.003 | 03.402.10 | Less Than Full-Time Worked (dates and hours) | 4 | | 40 Tex. Admin. Code § AC 815.106(i) |
| 3.4.004 | 03.403.10 | Overtime Authorizations | 2 | | |
| 3.4.005 | 03.404.10 | Overtime Schedules | 2 | | |
| 3.4.006 | 03.405.10 | Time Cards and Time Sheets | 4 | | 40 Tex. Admin. Code § 815.106(i) |
| 3.4.007 | 03.406.10 | Time Off and/or Sick Leave Requests | 4 | | Includes supporting documentation for leave requests, such as physician statements. |
| 3.4.008 | 03.407.10 | Sick Leave Pool Records - Donations and Withdrawals | 4 | | |

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| Section 3.5 – Immigration Records | | | | | |
| 03.500.10 | | J-I Student Intern Evaluations (Applicable to J-I student interns) | AC + 3 | | AC= completion of student intern program. 22 C.F.R. § 62.23(i)(5) |
| 03.501.10 | | Labor Condition Certifications (H-1Bs and E-3s) | AC + 1 | | AC= earliest of the following termination of employment under labor condition application, date employee has obtained permanent residence, or date labor condition application expired or withdrawn. 20 C.F.R. § 655.760(c) |
| 03.502.10 | | Payroll Records–Public Examination Files (H-1Bs and E-3s) | 3 | | Retention period begins on date of record's creation unless an enforcement action is commenced, then records must be kept in accordance with federal regulations. 20 C.F.R. § 655.760(c) |
| 03.503.10 | | Application for Permanent Employment Certification (including all supporting documentation) | AC + 5 | | AC= date of filing. 20 C.F.R. § 656.10(f) |
| 03.504.10 | | F-I Optional Practical Training Records | AC + 1 | | AC= termination of employment. |
| 03.505.10 | | O-1s, TNs, J-1s | 3 | | Not including J-I Student Intern Evaluations, see agency number 03.500.10. |
| 03.506.10 | | I-140 Immigration Petitions | 3 | | |
| 03.507.10 | | Application for Appointment as a Visiting Scholar | AC + 5 | | AC= date application rejected or termination of appointment. |

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