

University of Houston System Records Retention

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State Records

The records of the University of Houston System are considered records of the government of the State of Texas. The records of Texas state government are an important resource for citizens as well as public officials. State records provide proof of a particular action, contain evidence to protect the rights of individuals or the government, and provide decision support, which is valuable to the progress of state business.

Effectively managing the accumulation of state records requires a system of procedures, standards, and controls. Without proper management of the state's vast quantity of recorded information, necessary data remains inaccessible.

Storing Inactive Records in Records Retention

- A. Types of records that should not be stored in Records Retention by departments
1. Documents/records that are microfilmed. Almost all documents processed by Purchasing, Accounts Payable, General Accounting, Payroll, and the Budget Office are microfilmed and should not be stored in Records Retention. These documents include:
 - Budget Transfer Request
 - Cancelled Check (drawn on a UH local bank)
 - Encumbrance Adjustment
 - Expenditure Reallocation or Correction Form
 - General Cash Receipt
 - Personnel Action Request
 - Position Request
 - Purchase Order
 - Purchase Requisition
 - Purchase Voucher
 - Receiving Report
 - Service Center Requisition
 - Timesheet
 2. Reports which contain information that is available online. Detailed information is and will continue to be available online for FINFRS, FINAPS, and FINHRS back to FY92.
- B. Procedure for transferring documents to Records Retention
1. Place documents in file storage boxes (preferably tie-down boxes with handles, 24" long x 12" wide x 10" deep).
 2. ALL BOXES SHOULD BE FULL. IF YOUR BOX SHAKES, RATTLES OR ROLLS, IT WILL NOT BE STORED. NO PLASTIC BINDERS OR METAL OBJECTS. ALL STAPLES AND PAPER CLIPS MUST BE REMOVED. PAPER DOCUMENTS ONLY.
 3. Complete a Records Storage Form (see attached), which indicates the following:
 - a. Department name
 - b. Building and room number of department
 - c. Phone number of department contact
 - d. Date
 - e. Last fiscal year of contents
 - f. Department ID number for the box (optional)
 - g. Description of box contents

4. Attach a copy of the Records Storage Form to the end of the box, under the handle. Use clear or brown mailing tape (not Scotch tape). Give the original Records Storage Form to Records Retention. (See attached sample.) Records Retention will assign the box a Records Retention ID number and indicate the year that the box will be destroyed on the Records Storage Form. Records Retention will then return the form to the department.
 5. Prepare a Physical Plant Work Request to have the boxes transferred or bring them yourself to room 171, building 3, University Business Park at 5000 Gulf Freeway. If you bring them yourself, call Records Retention in advance at 713-743-1319.
- C. Viewing stored or microfilmed documents
1. Call Records Retention (713-743-1319) to schedule an appointment to view paper documents in storage. Provide the Records Retention ID number of the box you wish to view.
 2. Call the appropriate processing department (Accounts Payable, General Accounting, or Payroll) to get a copy of a document that has already been processed. The processing department will request a copy of the document from Records Retention.
- D. Destruction of stored documents
1. Documents are destroyed according to the UH System Records Retention Schedule, which is certified by the Texas State Library.

Storing Documents in Departments

- A. Financial Documents
1. Additional documentation, which is not microfilmed, may be maintained by departments to support financial transactions during an internal or external audit.
 2. For federal grants and contracts, financial documentation should be maintained for three years following submission of the final expenditure report or, for awards that are renewed quarterly or annually, from the date of submission of the quarterly or annual financial report. Any questions concerning retention of records for grants or contracts should be directed to the Division of Research.
 3. For accounts that are not supported by grants or contracts, financial documentation should be maintained for three years beyond the fiscal year in which the transaction occurred.

Do's and Don'ts of Displaying Backup Documentation

- Don't cover backup information with another document.
- Don't write a "X" across a page – it will not be microfilmed.
- Do write an "X" on pages that contain information that are not part of the voucher backup (e.g., scrap paper).
- Don't use a highlighter (except for light yellow) to highlight information – it will turn black when microfilmed.
- Don't tape an 8 ½ x 11 receipt or invoice to a 8 ½ x 11 piece of paper.
- Do tape all receipts that are smaller than a credit card to a 8 ½ x 11 page.
- Don't allow taped receipts/invoices to hang over the edge of the page.
- Don't use a heavy duty staple. Use rubber bands or a clip.
- Do indicate newspaper/magazine advertisements by writing a slash (/) on the four corners of the ad.

University of Houston

Memorandum

To: Mary Thompson, Records Retention (REC-0935)

From:

Date:

Subject: RECORDS STORAGE

SEND FROM OFFICE OR
DEPARTMENT: _____

RECORDS RETENTION ID#: _____

BUILDING AND ROOM No.: _____

DESTRUCTION YEAR: _____

PHONE No.: _____

DATE: _____

LAST FY OF CONTENTS: _____

DEPARTMENT ID#: _____

CONTENTS:

Do not write below this line

SAMPLE

University of Houston

Memorandum

To: Mary Thompson, Records Retention (REC-0935)

From:

Date:

Subject: RECORDS STORAGE

FOLD HERE

This form should be attached to the blank end of the box (without writing), under the handle.

SEND FROM OFFICE OR

DEPARTMENT: (Dept will complete.)

RECORDS RETENTION ID#: (RR will complete.)

BUILDING AND ROOM No.: (Dept will complete.)

DESTRUCTION YEAR: (RR will complete.)

PHONE No.: (Dept will complete.)

DATE: (Dept will complete.)

LAST FY OF CONTENTS: (Dept will complete.)

DEPARTMENT ID#: (Dept will complete.)

CONTENTS:

(Dept will complete.)

Do not write below this line

FOLD HERE

Note: Please do not write any information above handle. We need this space for Records Retention ID number. This number has six digits and we write LARGE. Thanks. Mary T.