



THE TEXAS A&M UNIVERSITY SYSTEM
Records Retention Schedule

Retention Codes (Field 7)

AC – See field 9 for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end

FE – Fiscal Year end
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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
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1. Agency Code: 710		2. Agency Name: Texas A&M System Office										
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations	
					Years	Months	Days					
06.611.10	16.5.010	External Recruiters Records	This series provides a record of recruiter visits to the campus to participate in job fairs or conduct job interviews. May include but not limited to: scheduling calendars; recruiter schedules; recruiter information forms; lists of interviewees; and feedback forms from recruiters.		2						See RSIN 1.1.019 for marketing materials. See RSIN 11.1.006 and/or 11.1.007 for event planning records. See RSIN 15.5.005 for university student recruitment.	
06.611.40	16.1.040	Student Health Insurance Records	University copies of information relating to the selection by students of health insurance offered to students through the university.	AC				AC = Until superseded or date of last attendance.				
07.100.10		Forest Resource Development	Programmatic and operational records maintained by the Texas A&M Forest Service related to the agency's statutory forestry responsibilities.	FE	5				O		Texas Educ. Code ch. 88, subch. B.	
07.100.11		Apiary Inspection Service Program Records	Records maintained by the Chief Apiary Inspector, employed by Texas A&M AgriLife Research, related to the inspector's statutory responsibilities for functions such as permitting, inspections, registration, and disease control.	AV							Tex. Agric. Code ch. 131, 4 Tex. Admin. Code ch. 71.	
07.100.15	17.3.016	Scientific Misconduct Records	Accusations of research project-related misconduct brought forward by or against university personnel and affiliates.	AC	7			AC = Completion of proceeding involving the research misconduct allegation.			42 CFR 93.317(b).	



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07.100.20	17.3.005	Institutionally Funded Research - Minutes and Final Research Reports	This series documents the activities of the institutional councils and boards, which review proposals and make recommendations for awards to faculty for research that is not otherwise supported by organized or directed programs but is designed to lead to other funding sources. Examples of projects funded are pilot research, emergency funding, emerging research opportunities, new research field or new research field for investigator, developing research laboratories, and centrally shared research resources. This series includes meeting minutes and final research reports.	PM					O	NOTE: The academic department and university archives should determine whether the permanent record will be maintained in archives or the department.	21 CFR 56.115(b), 42 CFR 73.17(c).



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07.100.30	17.3.007	Institutionally Funded Research - Project Review Records	This series documents the activities of the institutional councils and boards, which review proposals and project funding requirements to make recommendations for awards to faculty for research that is not otherwise supported by organized or directed programs but is designed to lead to other funding sources. Examples of projects funded are pilot research, emergency funding, emerging research opportunities, new research field or new research field for investigator, developing research laboratories, and centrally shared research resources. This series may include but is not limited to: applicant case files; agendas; notes; working papers; award letters; and applications for research support.	AC	5			AC = Date of notification.			21 CFR 56.115(b).
07.101.10		Research Proposals - Denied	Not Funded.		3						
07.101.20	5.1	Research Files - Externally Funded Projects	Externally Funded Projects. Proposals, agreements (grants, cooperative agreements, contracts), technical reports, sub-agreements, and related records	AC	7			AC = Completion of the project or longer as required by the agreement, or applicable federal or state law or regulation.		Series includes records fitting to 5.1.001a/b. Research data should be retained in accordance with RSIN 07.101.30.	Tex. Gov't Code 441.1855.



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07.101.30	17.3.013	Research Data - Funded Projects	Final and interim research reports, working files, research data, protocols, laboratory notebooks, documentation, and any specimens produced for a granting agency or sponsor for funded research, studies, clinical trials, and non-clinical trials.	AC	7			AC = Expiration or termination of the grant or sponsorship agreement, or close of study, whichever applicable.	O	CAUTION: Research grants may have individual guidelines for retention. Records must be retained in accordance with guidelines of grant or contract. ARCHIVES NOTE: Working files used in creating the final research report are not subject to archival review and may be disposed of at the expiration of the retention period.	NIH Guidelines, 2 CFR Pt. 200, 2 CFR 200.334, 21 CFR 58.195(b), 40 CFR 160.195(b), 42 CFR 73.17(c).
07.101.35	17.3.012	Research Data - Non-Grant Funded Projects	Non-regulated research activities and research data of projects that are not funded by grants and are not subject to any state or federal guidelines.	AV						See RSIN 17.3.013 for research data related to grant-funded or sponsored research.	
07.101.40	17.3.001	Animal Breeding and Management Records	Records relating to the care, management, and breeding of animals for research and teaching purposes.	AC	3			AC = Completion of activity, death of animal, or transfer of animal to another institution, as applicable.		CAUTION: If the research facility has been notified in writing that specified records shall be retained pending completion of an investigation or proceeding, the research facility shall hold those records until their disposition is authorized in writing by the United States Department of Agriculture, Animal and Plant Health Inspection Service.	7 USC 2140, 9 CFR 2.35



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07.101.45	17.3.018	Animal Research Controlled Substances	Lists and logs of controlled substances used by veterinarians in animal research. Records may list dates of drug acquisition, quantity of purchases, dates dispensed, patients receiving drugs, and total balance on hand of scheduled drugs.		5					See RSIN 16.1.031a/b for health clinic or hospital pharmacy records.	22 TAC 573.50.
07.101.50	17.3.003	Institutional Animal Care and Use Committee (IACUC) Records	Institutional Animal Care and Use Committee (IACUC) meeting minutes, records of attendance, activities of the committee, committee deliberations, records of proposed activities involving animals and proposed significant changes in activities involving animals, and whether IACUC approval was given or withheld, and semiannual IACUC reports and recommendations (including minority views).	AC	3			AC = Completion of the activity.		CAUTION: If the research facility has been notified in writing that specified records shall be retained pending completion of an investigation or proceeding, the research facility shall hold those records until their disposition is authorized in writing by the United States Department of Agriculture, Animal and Plant Health Inspection Service.	9 CFR 2.35, 42 CFR 73.17(c)
07.101.60	17.3.004	Institutional Biosafety Committee	Meeting minutes and reports of the Biosafety Committee.		5						42 CFR 73.17(c).



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07.101.70		Institutional Review Board Committee Records (Human Subjects Research)	Internal Review Board (IRB) committee records including reports and meeting documentation and may include but are not limited to: IRB meeting minutes, records of attendance, activities of the committee, committee deliberations, records of proposed activities involving human subjects and proposed significant changes in activities involving human subjects, and whether IRB approval was given or withheld, and semiannual IRB reports and recommendations (including minority views).	AC	3			AC = Longest of the following: Completion of the activity or applicable federal or state laws or regulations.		See RSIN 07.101.60 for Institutional Biosafety Committee Records.	
07.102.10	1.1.067	Chemical Analysis Reports	Chemical analysis reports generated and maintained by the Texas Feed and Fertilizer Control Service/Office of the Texas State Chemist, Texas A&M AgriLife Research, pursuant to its statutory responsibilities.		5						Tex. Agric. Code ch. 63, 141; 4 Tex. Admin. Code Pt. 3.



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07.200.10		Patient Records-Dental	This records series consists of the current and complete dental record for every patient seeking care or service from the Texas A&M School of Dentistry Clinic.	AC	5			AC = Date of patient's last visit.		If a patient is younger than 18 years of age when the patient was last treated, disposition may take place on or after the date of the patient's 21st birthday or on or after the 5th anniversary of the date on which the patient was last treated, whichever date is later. 22 Tex. Admin. Code § 108.8(b). NOTE: Shadow files (copies) of patient records must be retained only for the duration necessary to assist the health care professional in tracking and providing care to the patient and should not be held any longer than the original record.	



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07.200.20	16.1.025	Medical Records-Hospital	Medical services history provided for patients treated by physicians, psychologists, or psychiatrists, and other medical staff at university hospitals, counseling centers, or other health institutions. May include but not limited to: appointment request slips; summary sheets; bacteriology test results; treatment record forms; diagnosis sheets; health history/screening sheets; initial evaluation/assessment sheets; referral sheets; personal health history sheets; dental examination sheets and X-rays; laboratory test results; physical therapy notes; X-ray release forms; X-ray requisitions with narrative or radiologist notes; and memoranda.	AC				AC = 7 years after termination of services with client, or until client reaches 21 years of age, whichever greater.		CAUTION: For records documenting forensic sexual assault exams, records must be retained for 20 years, per Health and Safety Code 241.1031. CAUTION: Student athlete medical records may have additional requirements per NCAA rules. See RSIN 18.2.005. See RSIN 16.1.008 for mental health, counseling, and psychotherapy records. See RSIN 16.1.026 for student health clinic records. See RSIN 16.1.034 for psychotherapy notes. See RSIN 16.1.038 for medical source data.	22 TAC 165.1(b).



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07.200.21	16.1.026	Medical Records-Student Health Clinic	Medical services history provided for students treated by the student health center. May include but not limited to: appointment request slips; summary sheets; bacteriology test results; treatment record forms; diagnosis sheets; health history/screening sheets; initial evaluation/assessment sheets; referral sheets; health center billing statements; personal health history sheets; dental examination sheets and X-rays; laboratory test results; physical therapy notes; X-ray release forms; X-ray requisitions with narrative or radiologist; notes; and memoranda.	AC				AC = 7 years after termination of services with client, or until client reaches 21 years of age, whichever greater.		CAUTION: For records documenting forensic sexual assault exams, records must be retained for 20 years, per Health and Safety Code 241.1031. CAUTION: Student athlete medical records may have additional requirements per NCAA rules. See RSIN 18.2.005. See RSIN 16.1.008 for mental health, counseling, and psychotherapy records. See RSIN 16.1.025 for hospital records. See RSIN 16.1.034 for psychotherapy notes. See RSIN 16.1.038 for medical source data.	
07.200.31	16.1.020	Laboratory Inspection Records - Calibration Records	In-house survey or calibration of laboratory equipment on a quarterly basis.		3					See RSIN 5.2.005 for calibration records of non-regulated equipment.	42 CFR 493.1105, 25 TAC 289.202(nn)(1).



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07.200.40		Requests for Blood Component and Lab Tests	This series documents physician orders for laboratory tests in order to obtain blood components. It may include but is not limited to: name of patient; date; physician's signature; test(s) ordered and results; transfusion reactions, anti-body workups, and cord blood testing.	AC	7			AC = Last Patient Visit		This item applies to records that are not filed as part of the patient record. For records that are filed as part of the patient record, follow AIN 07.200.10, 07.200.20, or 07.200.21.	22. Tex. Admin. Code § 165.1. NOTE: Shadow files (copies) of patient records must be retained only for the duration necessary to assist the health care professional in tracking and providing care to the patient and should not be held any longer than the original record.
07.200.50	16.1.03 1a	Pharmacy Records- Prescription and Inventory	Inventory, prescription slips, and other records of the purchase, acquisition, disposal, or dispensation of drugs and controlled substances as required by federal law and regulations, state law, and the rules of the Texas State Board of Pharmacy (TSBP).	AC	2			AC = The later of the date that the record was required to be created, the record was created, or the prescription was last filled.		CAUTION: See legal citations for special filing requirements for controlled substance and electronic prescriptions. See RSIN 17.3.018 for pharmacy records related to animal research.	21 CFR 1304.04(a), Health and Safety Code, Sections 481.067(c) and 23, 22 TAC 291.75(a).
07.200.51	16.1.03 1b	Pharmacy Records- Personnel Log	Pharmacy log of the unique initials or identification codes which identify pharmacy personnel by name.	AC	7			AC = Date of transaction.			22 TAC 291.75(e)(1).



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07.200.70	16.1.010	Donor Records - Medical	Bequeathal forms, cadaver tracking and acceptance information, death certificates, State Anatomical Board (SAB) forms, Morgue Control Sheets, and final disposition records for people who have donated their bodies, organs, or tissues to the institution.	PM						For other physical and monetary donations and gifts, see RSIN 13.2.003.	Health and Safety Code, 691.031.
07.200.80	4.1.009	Payment Waivers / Adjustments	Patient billing accounts that have been written off. Records may include but are not limited to payment waivers for prescriptions and copays; teaching case waivers, insurance explanation of benefits (EOB).	FE	3					Dental School and clinics use these records as paper backup to electronic billing records systems.	
07.201.01	16.1.001	Abuse and Neglect Records	Documentation of abuse and/or neglect findings observed by medical staff during patient care. The findings may be incident/variance reports and evidence of child, domestic, elder, or other kinds of abuse.	AC				AC = 10 years after report date for adults, or 10 years after minor reaches the age of majority.			Code of Criminal Procedure, 12.01.
07.201.02	16.1.002	Adverse Drug Event Records	Records related to adverse drug events or medical occurrences in patients and others served by the institution, excluding events taking place during a research study.		5					See RSIN 17.3.012 and 17.3.013 for research data.	



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07.201.03	16.1.00 6	Communicable Disease Records	Communicable disease logs and reporting records. May include but not limited to: copies of laboratory test results; name and address of patient; date; and person making referral.		3					See RSIN 16.1.013 for other laboratory test results.	25 TAC 97.2.
07.201.04	16.1.00 7	Continuing Medical Education (CME) Class Records	Records required for accreditation and administration of Continuing Medical Education (CME), Continuing Dental Education (CDE), and Continuing Nursing Education (CNE) training courses or programs, including activity and attendance records.		6					See RSIN 17.1.006 for all other continuing education records.	Accreditation Council for Continuing Medical Education (ACCME).
07.201.05	16.1.00 8	Mental Health Counseling Records	Professional counseling center service records. May include but not limited to: extensive notes made by providers concerning the assessment, diagnosis, treatment and contacts (written, telephone, or in person) with each client; mental health records; therapy records; psychotherapy notes; referral letters; release of information agreements; and letters to agencies or others concerning clients.	AC				AC = 7 years after termination of services with client, or 5 years after client reaches age of majority, whichever is greater.		CAUTION: Follow professional licensing board rules if they require longer retention. CAUTION: Student athlete medical records may have additional requirements per NCAA rules. See RSIN 18.2.005. See RSIN 16.1.025 or 16.1.026 for medical records. See RSIN 16.1.034 for psychotherapy notes.	



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07.201.06	16.1.009	Disclosure of Protected Health Information	Disclosures and policies or procedures governing the protection of Protected Health Information (PHI) in accordance with the Health Information Portability and Accountability Act (HIPAA).	AC	6			AC = Date of disclosure or last effective date of policy, whichever applicable.			45 CFR 164.528(b)(1), 45 CFR 164.530(j).
07.201.07	16.1.011	Medical Assistance Applications	Applications submitted on behalf of a patient to a drug company's or medical institution's assistance program.	US	1						
07.201.08	16.1.012	Drug Recall Notices	United States Food and Drug Administration (FDA) and manufacturer recalls on drugs. May include but not limited to: reportable occurrences of drug use; recalls through the manufacturer; and responses by departments.	AC				AC = 5 years after the records of manufacture have been completed or six months after the latest expiration date for the individual product, whichever later.			21 CFR 600.12, 21 CFR 7.59(c).
07.201.09	16.1.013	Final Laboratory Test Reports - Pathology	Test results and preliminary reports specific to pathology, histology, and cytology testing. Documentation includes the test requisition plus the specimen's accession number, the date and time the lab received the specimen, the condition and disposition of samples which do not meet the lab's acceptance standards, and the records and dates of performance of each step in the patient testing leading to and including the final report.		10						42 CFR 493.1105(a)(6)(ii).



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07.203.01	16.1.01 6	Health Assessment	Health assessment and screening records performed outside of regular treatment facilities and not entered into patient medical records (e.g. cholesterol screening, blood pressure testing, etc.).	AV						See RSIN 16.1.009 for disclosures of protected health information (PHI).	
07.203.02	16.1.01 7	Health Referrals - Denied or Not Seen	Documentation of instances where outpatients are referred to the institution by non-institutional practitioners who are denied health-related services or who are not seen by the institution.	AV							
07.203.03	16.1.01 8	Immunization Record and Consent Forms	Signed consent forms and records noting the type of immunization performed which are not included in the patient's medical record.	AC				AC = 21st birthday for minors, or 10 years following end of calendar year in which the consent form was signed, whichever is later.		See RSIN 1.1.067 for immunization reports required by the Texas Education Code and the Texas Health and Safety Code.	
07.203.04	16.1.02 2	Medicaid Provider Records	All records necessary to fully disclose Medicaid reimbursable services provided, including financial records relating to program services.	AC	5			AC = Date of service or until all audit questions, appeal hearings, investigations, or court cases are resolved.			1 TAC 354.1004.



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					Years	Months	Days				
07.203.05	16.1.023	Medical Device Recall Notices and Responses	United States Food and Drug Administration (FDA), Safe Medical Devices Act (SMDA) and manufacturer recalls on all medical, food and drug devices. May include but not limited to: reportable occurrences on devices, recalls through the manufacturer, and responses by institutional departments.	AC	2			AC = Life of device (device no longer in use, has been explanted, returned to the manufacturer, or patient has died).			21 CFR 806.20(c), 21 CFR 821.60.
07.203.06	16.1.024	Medical Logs	Log of patients visiting the health institution (both inpatients and outpatients) and patient encounters. The log may be used to create annual census reports and 3-year census comparisons, and it may include the date and time that the patient came in; appointment; admission; transport; dispatch; the physician assigned; diagnosis; discharge; patient photo; patient service; length of stay; remarks; case logs, and other medical logs.		3						



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07.203.07	16.1.027	Medical Rotation Records - Non-Affiliated Medical Students, Residents and Fellows	Medical rotation records for medical students, residency physicians, or fellows not affiliated with this university, but are accepted to practice medicine under the supervision of a licensed physician at this hospital as part of an elective not offered at their hospital. May include but not limited to: formal request to rotate, curriculum vitae, drug test, permit to practice medicine, and evaluations.	AC	5			AC = Completion of training or date of last attendance.		CAUTION: Records for affiliated students are kept with other student records, and records for affiliated residents/fellows are kept with residency records (RSIN 16.1.036 and 16.1.037).	
07.203.08	16.1.034	Psychotherapy Notes	Notes recorded by a health care provider who is a mental health professional documenting or analyzing the contents of conversation during a private counseling session or a group, joint, or family counseling session and that are separated from the rest of the individual's medical record. Psychotherapy notes exclude medication prescription and monitoring, counseling session start and stop times, the modalities and frequencies of treatment furnished, results of clinical tests, and any summary of the following items: diagnosis, functional status, the treatment plan, symptoms, prognosis, and progress to date.	AC				AC = 7 years after termination of services with client, or until client reaches 21 years of age, whichever greater.		See RSIN 16.1.008 for counseling records.	45 CFR 164.501



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07.203.09	16.1.03 5	Quality Assurance Records Health Services	Quality assurance records such as documentation of equipment monitoring, checks of quality control items, and any necessary corrections; reports by the staff; quality assurance committee notes; Morbidity & Mortality (M&M) conferences for residents, and staff reviews.		2					CAUTION: Federal or state regulations may require longer retention periods for specific health quality assurance reports.	
07.203.10	16.1.03 6	Physician in Training (PIT) Formative Evaluations	Formative evaluations of resident physicians created during training periods.	AC				AC = After resident has graduated or until any dispute involving the resident has been resolved, whichever occurs later.		See RSIN 16.1.037 for final summative evaluations.	
07.203.11	16.1.03 7	Physician in Training (PIT) Completion Records	Records created to verify completion of residency and fellowship education requirements for accepted physicians in training. May include but not limited to: final summative evaluations; Certification of Residency; and completion of resident program.	AC	50			AC = Completion of training, or last date of training, as applicable.		See RSIN 16.1.007 for Continuing Medical Education records. See RSIN 16.1.036 for formative resident evaluations.	



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07.203.12	16.1.038	Medical Source Data	Medical source data and health information stored in any original media. May include but not limited to: paper diagnostic tests or tools, x-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g., pharmacy information systems and radiation oncology information systems). Source data is distinct from the written interpretations of significant clinical information that has been forwarded to the medical record.	AV	5					CAUTION: Some source data, such as fetal monitoring strips or mammography images, may need to be kept longer. See RSIN 16.1.025 or 16.1.026 for information transcribed in medical records.	42 CFR 482.26(d)(2).
07.203.13	16.1.041	Surgical Instrument Sterilization Records	Sterilization of surgical instruments used by the health institution. May include: autoclave recording charts and log sheets indicating date; load number; items sterilized; and temperature/time settings.	AV	2						
07.300.10		4-H Program Records	Records maintained by Texas A&M AgriLife Extension for 4-H youth programs.	AV						CAUTION: See RSIN 16.5.003 for staff records for programs that constitute "youth camps" under state law.	



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07.301.10		Camps/Programs for Minors Records	Records of Camps/Programs for Minors operated by A&M System universities or agencies.	AC				AC = Administrative value or longer as required by applicable state law or System policy.		CAUTION: See RSIN 16.5.003 for staff records for camps/programs that constitute "youth camps" under state law. See AIN 07.300.10 for 4-H Program Records.	
07.302.10	16.5.003	Child and Youth Program Staff Records	Staff applications for child and youth programs, background check reports, and training documentation.	AC	2			AC = Termination of staff.		CAUTION: If the youth camp is notified of an investigation or conviction of a camp staff member for an act of sexual abuse, as defined by §21.02 of the Texas Penal Code, which occurred at the camp, the camp shall retain all records related to the investigation or conviction until the department notifies the camp that the record retention is no longer required.	25 TAC 265.12.



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07.303.10	16.5.009	Non-Institution Student Records	Senior learning programs and elementary through high school level program records for non-institution children, youth, and other students, including students belonging to special, minority, or disadvantaged groups. May include but not limited to: application, admission, and enrollment documentation; progress reports and assessments; parental consent forms; activity records; lists of attendees; 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; immigration and citizenship documentation; and financial responsibility records. Programs include but are not limited to: Upward Bound and High School Equivalency Program (HSEP).	AC	3			AC = End of program session or student separation from program, as applicable.		See RSIN 16.5.003 for child and youth program staff records.	



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07.304.10	18.1.00 1	Daily Broadcast Logs	Daily broadcast activities of the institutional radio station or television channel. May include but not limited to: log sheets showing time signed on and off; any delays in broadcasting; engineer's name; announcer's name; and technical difficulties.		2					CAUTION: See legal citations for exceptions to the retention requirement in the event of disasters, claims, or complaints to the Federal Communications Commission (FCC).	47 CFR 73.1840(a), 47 CFR 73.1800, 47 CFR 73.1820.
07.304.20	18.1.00 4	Broadcast Station Public Inspection File	Public inspection file for noncommercial radio stations, which includes all records listed in 47 CFR 73.3527(e), as required by the FCC.	AC				AC = Expiration or cancellation of license or permit.			47 CFR 73.3527(e).