



January 10, 2019

Mr. Anthony Bly  
Manager, Asset Management  
UT Southwestern Medical Center  
5323 Harry Hines Blvd.  
Dallas, TX 75390-9056

Re: Agency records retention schedule approved for use.

Dear Mr. Bly,

Your agency's records retention schedule is approved for use as of January 7, 2019. Your currently approved records retention schedule is available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please ensure that all old copies of the schedule are superseded with this recertified copy.

Your approved retention schedule provides you with continuing authorization to dispose of agency records according to its terms. Please note that state regulations (13 TAC §6.8) require documentation of the final disposition of records by your agency. This requirement may be met by maintaining a disposition log or other evidence of the records series titles, dates covered, volume, and date of disposition. The destruction of any records of your agency not on your schedule requires special authorization from us.

Each agency schedule must be reviewed, updated and submitted for recertification annually for the first two years after the initial approval of the schedule and every five years thereafter. The deadline for submission of your schedule for its next recertification is the last working day of January 2024.

During a certification period, changes may need to be made to your schedule. State regulations (13 TAC §6.4) also allow for the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, or if you have any other questions, please contact the Government Information Analyst assigned to your agency, Erica Wilson-Lang, at 512-463-6627 or [ewilson@tsl.texas.gov](mailto:ewilson@tsl.texas.gov).

Your efforts in developing a records retention schedule are appreciated. It not only helps to ensure the integrity of your recordkeeping practices, but it is also essential to the success of your records management program.

Sincerely,

A handwritten signature in black ink, appearing to read "CKelso".

Craig Kelso  
Director and State Records Administrator

cc: Agency head

Lorenzo de Zavala  
State Archives and  
Library Building

1201 Brazos Street  
Austin, Texas  
78701

P.O. Box 12927  
Austin, Texas  
78711-2927

[www.tsl.texas.gov](http://www.tsl.texas.gov)

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**TSLAC**

*Preserving yesterday  
Informing today  
Inspiring tomorrow*



STATE OF TEXAS

Records Retention Schedule Certification

SLR 105C

Form SLR 105 or SLR 122 must accompany all submissions of this form.

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 729
Agency Name UT Southwestern Medical Center

(Check one)

- Initial Certification - Form SLR 105
Recertification - Form SLR 105
Amendment - Form SLR 122

I hereby certify that this records retention schedule was prepared in accordance with Texas Government Code, Chapter 441, Subchapter L.

(Check one)

- Agency Head
Records Management Officer

Signature [Handwritten Signature]
Name (Print or type) Anthony Bly
Date July 12, 2018

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office
Signature
Name (Print or type)
Date

Not Required at This Time

Texas State Library and Archives Commission
(For the exclusive use of the State Library and Archives Commission)

Signature [Handwritten Signature]
Name (Print or type) Gloria McPaz
Date 1/7/19

Cert/Recert No. 7 Amendment No.

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## CAUTION

**A state record whose retention period has expired may not be destroyed if any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record is initiated; its destruction shall not occur until the completion of the action and the resolution of all issues that arise from it.**

**A state record whose retention period expires during any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record may not be destroyed until the completion of the action and the resolution of all issues that arise from it.**





**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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

FE – Fiscal year end  
LA – Life of Asset  
PM – Permanent  
US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist  
R/O – Review by State/University Archivist

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
10.000		Gift Records	Hard copies of gift documents such as method of payment, donor correspondence, acknowledgment letters and cash/check transmittals as available	PM					I	P Gift Records	
10.001		Gift Records – Gift Records Database (RAISER'S EDGE)	Electronic record of Gift and biographical information.	PM					I	E Gift Records	
10.002		Estate Files	Copies of wills and Correspondence relating to bequests for the Benefit of UT Southwestern Medical Center	PM					I	P Gift Records	
10.003		CAE (Council for Aid to Education)	Survey of the institutional giving by Fiscal Year	PM					I	P Gift Records	
10.004		Endowment Compliance	Reports, Minutes and correspondence	PM					I	P Gift Records	
10.005		GASB 33 Report	Report of pledges to UT Southwestern Medical Center	PM					I	P Gift Records	
10.006		Logs: Donor Report Log, Development Activity Log, Pending Funding Requests Log			1					Development	
10.007		Databases: Event RSVP and Solicitation Database Information			3					Development	
10.008		Progress and Financial Reports on current purpose gifts.		PM						P and E Development	
10.009		Solicitation Packets including Brochures and Samples of Campaign Records (solicitations, donor lists, giving levels)		PM						P and E Development	
10.010		Grant Holders and Applicants, Collateral Materials		PM						P Development	
10.011		Reports: Association of American Medical Colleges (AAMC) Survey Reports, Chronicle of Philanthropy Reporting and Chancellor's Council Reports			3					P Development	



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10.100A	1.1	IRB Study Information Files		AC	6			Date investigator requests file be closed with IRB		P IRB	
10.100B		IRB Study Information Files		PM						E IRB	
10.101		IRB Study Post Approval Monitoring Files		AC	6			Date investigator requests file be closed with IRB (IRB SOP) IRB		P IRB	
10.102A		IRB Meeting minutes	Minutes including records of attendance, activities of the committee, and committee deliberations	PM						E Minutes of IRB meetings which shall be in sufficient detail to show attendance at the meeting; actions taken by the IRB; the vote on these actions including the number of members voting for, against, and abstaining; the basis for requiring changes in or disapproving research; and a written summary of the discussion of controverted issues and their resolution. IRB	45CFR46.115(a)(2)
10.102B		IRB Meeting minutes	Minutes including records of attendance, activities of the committee, and committee deliberations	AC	6			Date investigator requests file be closed with IRB		P Delineates the six year retention period. IRB	45 CFR164.528
10.103		IRB Institutional Records	Including Federal wide Assurance (FWA) records, accreditation records IRB membership records, other federal agency records, and IRB policies	AC	3			Date of expiration.		IRB	21.CFR115(a)(5-6) and 46CFR 115(a)(5-6)



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10.201		IACUC Study Information Files	Records of applications, proposals, and proposed significant changes in the care and use of animals and whether IACUC approval was given or withheld	AC	3			Date the Study is Closed, Expired, or Terminated		E records kept PM IACUC	PHS Policy on the Humane Care and Use of Animals IV, E. & 9 CFR, Part 2, Subpart C, 2.35
10.202		IACUC Meeting Minutes	Minutes including records of attendance, activities of the committee, and committee deliberations	AC	3			Date the Minutes are Completed		E records kept PM IACUC	PHS Policy on the Humane Care and Use of Animals IV, E. & 9 CFR, Part 2, Subpart C, 2.35
10.203		PHS Correspondence		AC	3			Date the Office of Laboratory Animals Welfare (OLAW)- Approved Assurance Statement Expires		E records kept PM IACUC	PHS Policy on the Humane Care and Use of Animals IV, E
10.204		Semiannual Program Review Documents	Records of semiannual IACUC reports and recommendations (including minority views) as forwarded to the Institutional Official	AC	3			Date the Semiannual Program Review is submitted to the Institutional Official		E records kept PM IACUC	PHS Policy on the Humane Care and Use of Animals IV, E. & 9 CFR, Part 2, Subpart C, 2.35
10.205		Accreditation Correspondence	Records of accrediting body determinations	AC	3			Date of the Correspondence		E records kept PM IACUC	PHS Policy on the Humane Care and Use of Animals IV, E
10.205A		Records on Acquired Live Dogs/Cats Or Offspring.		AC	3			Acquisition Date		E records kept PM ARC	9 CFR, Part 2, Subpart C, 2.35
10.205B		Records on Dogs/Cats Transported/Sold/Euthanized		AC	3			Date the Animal was Transported, Sold, or Euthanized		E records kept PM ARC	9 CFR, Part 2, Subpart C, 2.35



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10.206		Research Animal Room Maintenance Records	These records report the type of maintenance that takes place each day of the month in a particular room housing research animals, such as cleaning and disinfection; ventilation; changing fee water, cages, air filters; daily health checks, etc.		3					Keep records at least 3 years for American Association for Laboratory and Animal Care (AALAC) accreditation purposes. May keep longer after that if needed.	
10.207		Records of Research Misconduct Proceedings	Records related to any actions concerning alleged research misconduct, including without limitation allegation assessments, inquiries, investigations, Office of Research Integrity oversight reviews, hearings, administrative appeals, research records, and documentation of any decision not to conduct an investigation of a particular matter.	AC	7			Termination of Proceedings		Legal Affairs	42 CFR Part 93, Sections 93.309(c) and 93.317
10.3		Fiscal Disclosure Statements (Statements of Financial Interest); Inactive Faculty COI Files	Information provided by investigators concerning financial interests which may be related to the investigator's research interests or other University responsibilities	AC	3			The date of a) creation; b) termination of the grant (submission of final expenditure report) or c) resolution of any audit, investigation or similar action whichever is longest.		(PHS Policy on the Responsibility of Applicants for Promoting Objectivity in Research.) COI Office	42 CFR, Part 50, Subpart F, 50.604 e
10.301		Conflict of Interest Review or Management Documentation	Includes documentation of reviews of fiscal disclosure statements and any management recommendations concerning actual or potential conflicts of interest	AC	3			Three years from the date the final expenditures report is submitted to the PHS or, where applicable, from other dates specified in 45 CFR 74.53(b) and 92.42 (b) for different situations		COI Office	42 CFR, Part 50, Subpart F, 50.604 e



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10.302		Outside Employment Requests and Supporting Documentation	Information provided by faculty supporting requests for outside employment and documentation of review/approval of requests	AC	2			Creation/receipt of a record or personnel action involved whichever is later.		COI Office	29 CFR 1602.31
10.303		Conflict of Interest Annual Reports		AV						COI Office	
10.304		IRB Meeting Worksheets and Protocols		AC	3			Three years from the date the final expenditures report is submitted to the PHS or, where applicable, from other dates specified in 45 CFR 74.53(b) and 92.42 (b) for different situations.		COI Office	42 CFR, Part 50, Subpart F, 50.604 & 45 CFR 74.53(b) and 92.42 (b)
11.000a	1.1.000	Appointments	Includes letters appointing individuals to serve on internal and external advisory boards and committees.	AC	3			End of appointment or end of term served on board or committee.		All Departments	
11.001	1.1.002	AUDITS	Internal Audit Committee Packets. Packets consisting of, but not limited to: Prior meeting minutes (for approval), audit reports, audit report summary documents, and other documentation on the agenda.	AC	25			Audit Committee Meeting Date		Internal Audit	
11.002	1.1.002	AUDITS	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			Publication or release of final audit findings.		The State Auditor's Office retains any copies of its audits performed on Texas State Agencies All Departments	





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11.003	1.1.002	Payer Audits: PHYSICIAN PAYMENTS	Audits performed by Providers on behalf of payers including the working papers that support the audit. Documents include, but not limited to requests by: Medicare Comprehensive Error Rate Testing (CERT); Office of Inspector General (OIG); Recovery Audit Contractor (RAC).	AC	7			Date of audit request.		UTSW Health System Financial Affairs	
11.003A	1.1.002	Payer Audits: HOSPITAL PAYMENTS	Audits performed by Providers on behalf of Payers including the working papers that support the audit. Documents include, but not limited to requests by Medicare, Medicaid and Blue Cross Blue Shield of Texas.	AC	7			Date of audit request		UTSW Hospital Financial Affairs	
11.004	1.1.004	Legislative Budgets, Legislative Budget Changes		AC	6			September 1 of odd-numbered calendar years	I	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program at the Texas State Library Archives Commission (TSLAC). Only copies of supporting documentation submitted to the Legislative Budget Board are archival. Budget	
11.006A	1.1.006	Office of Equal Opportunity (EO) Internal Complaint Records	Internal complaints alleging discrimination or retaliation under state or federal law received by or referred to the Office of Equal Opportunity and records pertaining to the resolution of the complaint.	PM						EO	



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11.006B	1.1.006	Office of Equal Opportunity External Complaint Records	External complaints alleging discrimination or retaliation under state or federal law received by or referred to the Office of Equal Opportunity and records pertaining to the resolution of the complaint.	PM						EO	
11.006C	1.1.006	COMPLAINT RECORDS	Internal or external complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the Complaint.	AC	2			Final disposition of the complaint.	I	CAUTION: If complaint becomes the subject of litigation, it must be included and is subject to the minimum retention period of item number 11.048. Office of Institutional Compliance (OC)	
11.006D	1.1.006	COMPLAINT RECORDS	Complaints related to Health Insurance Portability and Accountability Act. (HIPPA) Privacy	AC	6			Final Disposition of Complaint	I	Office of Institutional Compliance (OC)	45 CFR 164.530 (j)(1)-(2)



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11.007A	1.1.007	PRESIDENT'S ADMINISTRATIVE CORRESPONDENCE	Incoming/outgoing and internal correspondence in any medium; <b>including email</b> , pertaining to the formulation, planning, implementation, interpretation, modification or redefinition of the programs, services or projects of an agency and the administrative regulations, policies and procedures that govern them.	PM					I	ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review for Permanent Retention. CAUTION: This records series and item number 11.008 should be used only for correspondence that is NOT included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 11.004; a letter concerning an audit for that prescribed by item number 11.002, etc. SEE ALSO item number 11.011 President's Office <b>VITAL RECORD</b>	



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					Years	Months	Days				
11.007B	1.1.007	Correspondence – ADMINISTRATIVE	Incoming/outgoing and internal correspondence in any medium; <b>including email</b> , pertaining to the formulation, planning, implementation, interpretation, modification or redefinition of the programs, services or projects of an agency and the administrative regulations, policies and procedures that govern them.		4				I	ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review for Permanent Retention. CAUTION: This records series and item number 11.008 should be used only for correspondence that is NOT included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 11.004; a letter concerning an audit for that prescribed by item number 11.002, etc. SEE ALSO item number 11.011. See 11.057 for additional information on classifying transitory email. All Departments	



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					Years	Months	Days				
11.008A	1.1.008	PRESIDENT'S GENERAL CORRESPONDENCE	Non-administrative incoming/outgoing and internal correspondence in any media, <b>including email</b> , pertaining to or arising from the routine operations of the policies, program services or projects of an agency.	FE	5					SEE comment to item number 11.007A. SEE ALSO item number 11.010 President's Office	
11.008B	1.1.008	Correspondence – GENERAL	Non-administrative incoming/outgoing and internal correspondence in any medium; <b>including email</b> , pertaining to or arising from the routine operations of the policies, program services or projects of an agency.		2					SEE item numbers 11.007A & 11.010. SEE ALSO item number 11.057 for additional info on classifying transitory email. All Departments	
11.010	1.1.010	Directives	Any documentation that officially initiates, rescinds or amends general office procedures	US	1					All Departments	
11.011	1.1.011	Executive Orders	Any documentation that initiates, rescinds or amends a regulation, policy or procedure that governs the programs, services or projects of an agency	US	3				I	<b>All Departments VITAL RECORD</b>	



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11.013A	1.1.013	Calendars, Appointment and Itinerary Records	Calendars, appointment books or programs and scheduling or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries and other activities of agency officials or employees.	CE	1					O ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General. All Departments	
11.013B	1.1.013	Calendars, Appointment and Itinerary Records	Calendars, appointment books or programs and scheduling or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries and other activities of agency officials or employees.	CE	5					O President's Office	



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11.014	1.1.014	Legal Opinions and Advice	From University legal counsel or the Attorney General, including any requests eliciting the opinions and documentation, in any media, related to opinions or advice provided.	AV					O	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. See AIN 12.300. Legal Affairs	
11.018		Digital Photo Library of Historical UTSW images	This series includes photographs, digital images, photographic scrapbooks, negatives, slide formats, sound recordings, videotapes, posters, and other media that document institutional history and activities, except such records noted elsewhere in this schedule	AV					O	ARCHIVES NOTE: Archivists should apply archival selection criteria in the appraisal of these items. Selection criteria may include level of identification. Archivists may arrange with digital asset managers or similar personnel to identify historical photographs prior to transfer to the archives. Refer to 1.1.019 for Public Relations Records. Library Archives utilizes a web-based storage tool. <a href="https://utsouthwestern.widencollective.com/login">https://utsouthwestern.widencollective.com/login</a>	
11.019	1.1.019	Public Relations Records	News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio and audiovisual records		2				I	Office of Communications , Marketing and Public Affairs	
11.020	1.1.020	Public Information Requests – Not Exempted	Includes all correspondence and documentation relating to requests for records that are furnished to the public under Texas Public Information Act (Chapter 552, Texas Government Code)	AC	1			Date request fulfilled.		CAUTION: When requests involve exempted and non-exempted information use Agency Item Number (AIN) 10.290. Legal Affairs	



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11.021	1.1.021	Public Information Requests – Exempted	Includes all correspondence and documentation relating to requests for records that are exempt under Texas Public Information Act (Chapter 552, Texas Government Code)	AC	2			Date of notification that records are exempt.		I	Legal Affairs
11.023	1.1.023	Organization Charts		PM						I	All Departments
11.024A	1.1.024	PRESIDENTS PLANS AND PLANNING RECORDS	Plans and records relating to the process of planning new or redefined programs, services or projects of an agency that are not included in or directly related to other records series in this schedule.	PM						O	Strategic planning documents affecting new and/or redefined programs of the institution President’s Office
11.024B	1.1.024	Plans and Planning Records	Plans and records relating to the process of planning new or redefined programs, services or projects of an agency that are not included in or directly related to other records series in this schedule.	AC	3			Decision to implement or not to implement result of planning process.		O	ARCHIVES NOTE: Data processing planning records are not archival All Departments
11.025	1.1.070	Policy & Procedure Manuals, Handbooks, Standard of Conduct Guide & Code of Conduct		US	3					O	All Departments
11.026	1.1.026	Texas Register Submissions	Copies of all proposed, withdrawn, emergency and adopted rules; open meetings notices; or any other documents required by law to be submitted to the Texas Register	AC	1			Date of Publication in the Texas Register			All Departments
11.038	1.1.038	Customer Surveys		AC				Final disposition of summary report.			SEE item 11.067 for summary reports compiled from customer surveys. All Departments





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11.040A	1.1.040	PRESIDENT’S SPEECHES, PAPERS AND PRESENTATIONS	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	PM					O	President’s official speeches, presentations including PowerPoint presentations, official white papers. President’s Office	
11.040B	1.1.040	Speeches, Papers and Presentations	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC				End of term in office or termination of service in a state position	I	All Departments	
11.041	1.1.041	Suggestion System Records	Suggestions submitted by agency personnel and responses		1					All Departments	
11.043A	1.1.043	Training Materials	Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US	1					All Departments	
11.043B	1.1.043	Training Materials	Instructional Materials developed for Office of Safety and Business Continuity.		3					Dangerous Goods Shipping Training Recordkeeping per 49CFR§172.704(d) OSBC	49CFR§172.704(d)
11.043C	1.1.043	Training Materials	Instructional Materials developed for Organizational Development Office	US	7					Office of VP for Human Resources	
11.043D	1.1.043	Training Materials	Instructional materials developed by an agency for Hospital Staff Development	US	3					Curriculum and agenda for UTSW training courses. University Hospitals	
11.043E	1.1.043	Training Materials	Instructional materials to maintain Hospital equipment that comes in contact with patients.		25					FDA/JCAHO requires documentation is retained for 25 years. BIOMED HOSPITALS	



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11.048A	1.1.048	Litigation Files	All records created by or on behalf of UT Southwestern in anticipation of or in the adjudication of a lawsuit	AC	10			As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on a motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	O	All statutes of limitations also must be met before file is closed. ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the University Archivist.	
11.048B	1.1.048	Medical Liability Claims and Litigation Files	Records related to threatened or asserted medical litigation or investigation. This series includes without limitation; discovery, legal counsel work-product, evidence files, exposure records, exhibits, final judgments, correspondence, financial records, etc.	AC	20			All statutes of limitations must be met before file is closed.	O	ARCHIVES NOTE: Review before disposal; some cases that set legal precedent may merit a review by University Archivist for historical reasons. Legal Affairs	
11.055	1.1.055	Strategic Plans		AC	6			September 01 of odd-numbered calendar years.	I	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, TSLAC. President's Office	
11.056A	11.056	Americans with Disabilities Act (ADA) Documentation	Self-evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act.		3				EO		28 CFR 35.105(C).



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11.056B	11.056	Accommodation Requests Under Americans with Disabilities Act (ADA)	Includes requests for employees, students and anyone visiting University facilities	AC	3			separation of employment of requestor (employees), graduation or last contact (students) or Date of last contact (visitors).		EO	28 CFR 35.105(C).
11.057	1.1.057	Transitory Information	Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed with an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing record series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, <b>email</b> , hard copy, etc.) are routine messages; telephone message notifications; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC				Purpose of record has been fulfilled.		NOTE: <b>Not all email can be classified as transitory. The retention of email is based on content and may need to be retained for a longer period of time</b> . CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction signoffs (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan	



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11.058	1.1.058	MEETING AGENDA AND MINUTES	Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.	PM					I	ARCHIVES NOTE: Agency retains permanent record copy. The archival requirement will be met by sending a copy to the Archives and Information Services Division, TSLAC. CAUTION: This records series and item numbers 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency. All Departments	Government Code, Chapter 551.
11.059	1.1.059	MEETINGS, CERTIFIED AGENDAS OR TAPE RECORDINGS OF CLOSED	Certified agendas or tape recordings of closed meetings of state boards, commissions, committees, and councils.	AC	2			The Date of the meeting or completion of pending action involving the meeting, whichever is later.		SEE caution comment at item number 1.1.058. All Departments	Government Code, Section 551.104(a).



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11.060	1.1.060	MEETINGS, AUDIO OR VIDEOTAPES OF OPEN	Audio or videotapes of open meetings of state boards, commissions, committees, and councils.	AC			90	Official approval of written minutes of the meeting by the governing body of an agency.		CAUTION: Minutes of state agencies are permanent records. Audio and videotapes are not permanent media. State agencies may not retain audio or videotapes of the meetings of governing bodies in lieu of written minutes. The proceedings of all meetings of state boards, committees, commissions, and councils must be reduced to writing. SEE ALSO caution comment at item number 1.1.058.	
11.061	1.1.061	Meeting Notes	Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC			90	Approval of the formal minutes by the governing body.		See Policies ORG-251, ORG-252 and ORG-253 UT Southwestern Institutional Policies and Operating Procedures Handbook for a complete listing of current UT Southwestern Committees and Faculty Councils.	
11.062	1.1.062	Meeting Supporting Documentation	Documents submitted at meetings of state boards, commissions, committees and councils including exhibit items, documentation for agenda items, etc. This supporting documentation also includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.	FE	3				I	See Policies ORG-251, ORG-252 and ORG-253 UT Southwestern Institutional Policies and Operating Procedures Handbook for a complete listing of current UT Southwestern Committees and Faculty Councils.	



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11.063	1.1.063	Staff Meeting Minutes and Notes	Committee Meeting Agenda and Minutes A record of actions and transactions taken by University committees, councils, Faculty Senate Committee and similar groups. Typically includes minutes, agendas, Notes, reports, bylaws, etc.		1				O	ARCHIVES NOTES: Maintain for 6 years then review for historical information. Any historical information should be transferred to University Archives for permanent retention. Some information may be exempt from public disclosure. All Departments  See Policies ORG-251, ORG-252 and ORG-253 UT Southwestern Institutional Policies and Operating Procedures Handbook for a complete listing of current UT Southwestern Committees and Faculty Councils.	
11.064	1.1.064	Agency Performance Measures Documentation	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request for strategic plan, and for performance measures used to manage the agency.	FE	3					CAUTION: The FE+3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures. <b>VITAL RECORD</b>	



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11.065	1.1.065	Reports and Studies (Non-Fiscal) Raw Data		AV						CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. SEE 11.064. Institutional Compliance Operations Compliance Awareness Survey Planning and Institutional Studies	
11.066	1.1.066	Reports: Biennial or Annual Agency (Narrative)	Biennial narrative reports to the Governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute	AC	6			September 1 of odd-numbered calendar years	I	NOTE: The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, TSLAC. Planning and Institutional Studies	
11.067	1.1.067	Reports and Studies (Non-Fiscal)	Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.		3				O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, I or O Planning and Institutional Studies	
11.068	1.1.068	Reports: Performance & Fund Management	Quarterly and annual reports on agency performance measures submitted to executive and legislative offices	AC	6			September 1 of odd-numbered calendar years.		Planning and Institutional Studies	
11.069	1.1.069	Activity Reports	Employee Activity, production and other reports used for workload measures, time studies and funding		3				I	Security is open with Restrictions All Departments	



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11.070	1.1.070	Agency Rules, Policies and Procedures – Final	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services or projects.	AC	3			Revisions made to, completion of or termination of program, rules, policies or procedures.	O	SEE ALSO: Agency Rules, Policies and Procedures – working Files, item number Record Series No. 11.071 All Departments <b>VITAL RECORD</b>	
11.071	1.1.071	Agency Rules, Policies and Procedures – Working Files	Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies and procedures that govern an agency's programs, services or projects.	AC	3			Completion or termination of program, rules, policies or procedures.	O	See also Record Series No. 11.070 All Departments <b>VITAL RECORD</b>	
11.072	1.1.072	Public Information Reports	Reports made to the Office of the Attorney General on an agency's Public Information Act activities		2				O	Legal Affairs	
11.073	1.1.073	Administrative Hearings	Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes.	AC	3			Last action	O		
11.074	1.1.074	Sunset Review Report and Documentation	Sunset is the regular assessment of the continuing need for a state agency or program to exist.	AC	3			After subsequent Sunset Review	O		





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11.075	1.1.075	Alternative Dispute Resolutions – Final Agreement	Final agreement described by Government Code, 2009.054 (c), associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state agency participated as a party on the agency’s behalf.	AC	4			Date of final agreement.		Legal Affairs	Texas Civil Practice and Remedies Code, Chapter 154.071.
11.076a	1.1.000	Special Events, Functions, Projects and Initiatives	Event Planning documentation and records.	AC	5			Conclusion or termination of event, project or initiative.		All Departments	
12.001	1.2.001	Agency Destruction Authorizations	Agency level documents authorizing final disposition of records under a certified records retention schedule. Bi-monthly disposition spreadsheet signed by the agency’s Records Management Officer (RMO) showing approval to destroy and shred pick-up receipts.	FE	3					Records Management	
12.005	1.2.005	Agency Approved Records Retention Schedule (SLR 105)	State Agency copy. Formerly Form RMD 105/105C. Includes the current approved retention schedule (Form SLR 105), signature approval page (Form SLR 105C), any amendments (Form SLR 122), all administrative correspondence to/from SLRM, and any additional forms designated by the State Records Administrator.	US						Original is retained by the State and Local Records Management Division, TSLAC. Records Management	
12.006	1.2.006	Records Transmittal Forms	State Agency form indicates records transferred to storage or a transfer of legal custody.	AC	2			Date of authorization for destruction, permanent transfer from storage, or transfer to the University Archives.		Records Management	



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12.008	1.2.008	Request for Authority to Dispose of State Records (RMD 102)	State Agency copy of TSLAC form requesting the authority to dispose of non-scheduled State Agency records. This form includes documentation of records which were disposed of before their retention period was met.	FE	3					Original is retained by the State and Local Records Management Division, TSLAC. Records Management	
12.010	1.2.010	Records Disposition Logs	State Agency Logs or similar records listing records destroyed showing records series title, dates of records, and date destroyed.		10					Records Management: retains original Disposition Logs for records stored in on-site storage facilities in Bass and X-Building's. Sends copy to departments who are storing the records. Departments are responsible for maintaining their own destruction logs and disposition forms.	
12.011	1.2.011	Record Center Storage Approval Forms	Agency copy.	US						Records Management	
12.012	1.2.012	Records Inventory Worksheets	Annual Records Attestation and Inventory Worksheets	US						Original Inventory retained in department. Copy of Inventory retained by Records Management	
12.013	1.2.013	Records Control Locator Aids	Includes indexes, card files, shelf lists, registers, guides, etc.	AC				When control aid is updated, revised, or no longer needed.		CAUTION: These records must carry the same retention period and archival code of the records they support. Records Management <b>VITAL RECORD</b>	
12.014	1.2.014	Agency Records and Information Management (RIM) Program Records	Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US	1					Records Management <b>VITAL RECORD</b>	



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12.015	1.2	Library Acquisitions Records	Includes information on the acquisition of electronic journals and electronic databases (e-resources), the publisher and cost, journal subscription and licensing information.	AC				Date catalog is updated		Does not include the Library Catalog. Refer to 11.080. Refer to RRS 47.004 (Capital Asset Records) for records documenting purchase of library materials. The disposal of library material control records needs not be documented through destruction authorizations (12.001) or in records disposition logs (12.010).	
12.016	1.2	Interlibrary Loan Borrowing, Lending and Document Delivery Records	This series documents requests made of the Library department for materials by affiliated clients, Loansome Doc clients, outside institutions and also Library department requests for materials from other library systems. This series applies to library electronic resources and printed dissertations and theses (not to archival or special collections). Includes databases of borrowing requests, ILLIAD or other borrowing records systems. Copyright laws require 5 year retention.	CE	5					ILL Lending records fall under 44.002 Accounts Receivable Ledgers. Records Management Officers should ensure that ILL records maintained by a third-party vendor are retained in accordance with this record series.	
12.017	1.1	Library Catalog	Includes the ByWater Koha integrated library system cataloging of library holdings, and non-circulating print materials: reference books, core collection books, history of medicine books, and rare books.	US						The disposal or supersession of library catalog records needs to be documented through destruction authorizations (12.001) or in records disposition logs (12.010).	



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12.018	1.2	Library Permanent Archival Collection and Institutional Repository Records	Includes processing and management of objects, images, rare books, institutional repository and materials in permanent collections, including accession, use, care, maintenance, storage and disposition of collections; using OCLC ContentDM-hosted digital management of digitized images and related metadata; and Texas Digital Library DSpace-hosted digitized repository of documents. May include spreadsheets of visitor logs, collection use and client request records of the special collections, inventory and location records.	PM							
12.019	1.2	Library Reference Records	Includes Client Database records of questions and information provided to librarians to use their expertise to assist library clients in their research.	FE	3						
12.02	1.2	Library Electronic Theses and Dissertations Collection	Includes the Texas Digital Library-hosted Vireo ETD Submission and Management System to manage the electronic theses and dissertations submitted by graduate and medical students, and making them publicly available in TDL Dspace.	PM							
12.021	1.2	Library Accession/De-Accession Records	Includes records used to update the library catalogs, ejournal cancellation records, records of materials relocated to the Joint Library Facility (JLF) in Bryan, TX.	AV							



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					Years	Months	Days				
12.2		Patents, Trademarks and Copyrights	Includes issued patents, trademarks and copyrights, applications, and supporting documentation (non-research).	AC	7			Expiration or abandonment of patent, trademark, or copyright.		Technology Development (Patents). Legal Affairs (Trademarks, Copyrights)	
12.200	4.7.004	CAPITAL ASSET RECORDS	Equities files for Technology Commercialization Start-Up Companies	LA	3					Retain ALL documentation regarding asset for life of asset plus three years. Technology Development	
12.201		Research Records Supporting Patents, Trademarks and Copyrights Filings	Records series includes documents related to patents, trademarks, or copyrights whether issued or not.	AC	20			Expiration or abandonment of patent, trademark, or copyright Technology Development (Patents).		Legal Affairs (Trademarks, Copyrights)	
12.203		License Agreements or Other Agreements for Intellectual Property, Patents, Trademarks and Copyrights	Includes related correspondence; financial documentation, know-how agreements, and other contractual agreements resulting from the licensing of technology or the transfer of intellectual property.	AC	7			Expiration, termination, or completion of terms of agreement	O	Technology Development	Office of Management and Budget (OMB) Circular A - 110.53 authorized by 31 U.S.C. 503, 31 U.S.C. 1111, 41 U.S.C. 405, and E.O. 11541
12.204		Materials Transfer Agreements for either the receipt or delivery of materials by the institution		PM						E Execution copies only and any accompanying Form G approval (Form G: explanatory letter signed by an institutional official to justify why agreement should be approved.) Technology Department	



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12.205		Sponsored/Collaborative Research Agreements executed with third parties		PM						E Execution copies only and any accompanying Form G approval (see 12.204 for explanation) Technology Department	
12.206		Confidential Disclosure and Limited Use Agreements executed with third parties.		AC	7			Expiration, termination or completion of terms or agreement		E Execution copies only and any accompanying Form G approval. (see 12.204 for explanation) Technology Department	
13.001	1.3.001	State Publications	One copy of each state publication as defined on page 7 of the table of contents of this schedule, except a publication that is subject to a different retention period in this schedule. For example; item numbers 11.004, 11.055, 11.066, 11.068, and 45.003, which also meet the definition, are closely associated with the appropriations process and must be retained AC+6.	AC	2			Until superseded or obsolete.		CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, TSLAC, by law . The TSLAC will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the TSLAC. All Departments	441.101-441.106 13 TAC §3.1-3.16



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13.002	1.3.002	Publication Development Files	Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV					O	All Departments	
21.001	2.1.001	Processing Files	Machine-readable files used in the creation, utilization, and updating of master files.	AC				Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere. All Departments <b>VITAL RECORD</b>	
21.002	2.1.002	Master Files	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs. Also included are backup files.	AC				Completion of 3rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere. All Departments <b>VITAL RECORD</b>	



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21.007	2.1.007	Software Programs	Automated software applications and operating system files including job control language, program listing/source code, etc.	AC				Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records. All Departments <b>VITAL RECORD</b>	13 TAC 6.94.
21.008	2.1.008	Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC				Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records. All Departments <b>VITAL RECORD</b>	13 TAC 6.94.





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21.009	2.1.009	Technical Documentation	Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate, and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	AC				Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records. All Departments <b>VITAL RECORD</b>	13 TAC 6.94.
21.010	2.1.010	Audit Trail Records	Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC				All audit requirements have been met.		All Departments <b>VITAL RECORD</b>	



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21.011	2.1.011	Finding Aids, Indexes, and Tracking Systems	Automated indexes, lists, registers, and other finding aids used to provide access to records.	AC				The related records have been destroyed.		CAUTION: These records must carry the same retention period and archival code of the records they support. All Departments <b>VITAL RECORD</b>	
22.001	2.2.001	System Monitoring Records	Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.	AV						All Departments	
22.002	2.2.002	Chargeback Records to Data Processing Services Users	Records used to document, calculate costs, and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.	FE	3					All Departments	
22.004	2.2.004	Computer Job Schedules and Reports	Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.			3				All Departments	
22.010	2.2.010	Data Processing Policies and Procedures	Manuals, guidelines, or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.	US	3					CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number 21.009. All Departments	
22.011	2.2.011	Batch Data Entry Control Records	Forms and logs used to reconcile batches submitted for processing against batches received and processed.	AC				When reconciliation confirmed.		All Departments	
22.012	2.2.012	Output Records for Computer Production	Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV						All Departments <b>VITAL RECORD</b>	



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22.013	2.2.013	Quality Assurance Records	Information verifying the quality of system, hardware, or software operations including records of errors or failures and the loss of data resulting from such failures, documentation of abnormal termination and of error free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy.	AC				No longer needed as an audit trail for any records modified.		All Departments	
22.014	2.2.014	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 (12.001) or in records disposition logs (12.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (12.014). All Departments	
22.015	2.2.015	History Files - Web Sites	A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.	AV						The disposal of history files need not be documented through destruction authorizations (12.001) or in records disposition logs (12.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (12.014). All Departments	



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22.016	2.2.016	Software Registrations, Warranties and License Agreements		LA	3					All Departments <b>VITAL RECORD</b>	
31.000A	3.1.000	GRANTED: Appointment, Promotion, and Tenure Records.	This series documents the periodic consideration of Faculty who are eligible for promotion in rank and change in tenure status, faculty appointments, and Compliance with UT Southwestern regulations for periodic performance evaluation of Tenured faculty. Records may include, but are not limited to, appointment, promotion and tenure proposals submitted by Department for review; committee recommendations and approvals; and documentation of post tenure review recommendations. Proposals may include, but are not limited to, Chair's letter of proposal, department or school committee's letter of recommendation, letters of evaluation and Current curriculum vitae.	AC	10			Termination of Employment		Documents for appointments, promotions, and tenure that are not approved are kept for 1 year. VP for Academic, Faculty & Student Affairs keeps lists of initial appointments, promotion and/or tenure actions, and post tenure and other faculty reviews and copies of review reports. Human Resources keep documentation in the Individual Personnel File for promotion and tenure and initial faculty appointment packets. Departments and/or Deans keep documentation for faculty reviews. UT Southwestern Institutional Policies and Operating Procedures Handbook. Policy FAC-401 states all documentation related to Faculty tenure processes. Documentation will be maintained as a confidential file in the department.	



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31.000B	3.1.000	Appointment, Promotion, and Tenure Records. NOT GRANTED	<p>Appointment, Promotion, and Tenure Records. NOT GRANTED:</p> <p>This series documents the periodic consideration of Faculty who is eligible for promotion in rank and change in tenure status, faculty appointments, and compliance with UT Southwestern regulations for periodic performance evaluation of Tenured faculty. Records may include, but are not limited to, appointment, promotion and tenure proposals submitted by Department for review; committee recommendations and approvals; and documentation of post tenure review recommendations. Proposals may include, but are not limited to, Chair's letter of proposal, department or school committee's letter of recommendation, letters of evaluation and Current curriculum vitae.</p>		1					<p>Documents for appointments, promotions, and tenure that are not approved are kept for 1 year.</p> <p>VP for Academic, Faculty &amp; Student Affairs keeps lists of initial appointments, promotion and/or tenure actions, and post tenure and other faculty reviews and copies of review reports. Human Resources keep documentation in the Individual Personnel File for promotion and tenure and initial faculty appointment packets. Departments and/or Deans keep documentation for faculty reviews. UT Southwestern Institutional Policies and Operating Procedures Handbook. Policy FAC-401 states all documentation related to Faculty tenure processes. Documentation will be maintained as a confidential file in the department.</p>	
31.000C	3.1	Records for Initial Faculty Appointments - VOLUNTEER FACULTY		AV							



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31.000D	1.1	Volunteer Records	This series documents the activities and administration of an institution's department or office's volunteer program. Records may include: person of interest forms (POI), volunteer hour statistics; volunteer program publicity records; insurance requirement information; and inactive volunteer files containing applications and conditions of volunteer service forms	AC	3			US or date of separation plus three years, per Local Schedule GR1050-39			
31.001	3.1.001	Applications For Employment – Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC	2			After close of the Calendar Year (month of the current year of disposal)		Office of Human Resources	29 CFR 1602.49(a)
31.002	3.1.002	Applications for 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 advertisement.	AC	5			Termination of employment		Office of Human Resources	



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31.004		Employee Files	(content includes) Original resume, CV, Offer letters, hiring forms, Orientation checklist, Standard of Conduct Acknowledgement form, Appointment and Reappointment information, Performance Evaluations, Disciplinary Action forms, compensation forms, Change of Address forms, Employment Verification forms, Emergency Contact, Prior State Service information, Certificates/Transcripts, Licensure, Letters of recommendation.	AC	5			Termination of employment.		P & E Office of Human Resources	
31.006	3.1.006	Employee Counseling Records	Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisorial level except in those agencies with counseling staff.	AC	3			Termination of counseling		Office of Human Resources	
31.006A		Employee Assistance Program (EAP) Records	Electronic records containing notes, memoranda, or reports relating to the counseling of an EAP client for work-related, personal, or substance abuse. Information contained within these records are maintained separately from the employee files.	PM						Electronic EAP Records are maintained in a self-contained database with permanent retention. EAP Client: Agency Employee and their family members using the EAP. Office of Human Resources	
31.011A	3.1.011	Employee Insurance Records	Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	AC	5			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. Office of Human Resources	



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31.011B	3.1.011	Employee Benefit Records	Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees, Beneficiary Designation form, Benefits Acknowledgment form, Enrollment form, Evidence of Insurability form, Maximum Exclusion Allowance calculation, TRS, ORP and TSA Acknowledgement form, Marriage License/Divorce decrees, UT Flex Agreement form, FMLA/EOI letters, Change of Address information, Power of Attorney	AC	5			Termination of employment.		P & E TRS: Teachers Retirement System of Texas ORP: Optional Retirement Program TSA: Tax Sheltered Annuity EOI: Evidence of Insurability FMLA: Family Medical Leave Act Office of Human Resources	
31.012	3.1.012	Employment Opportunity Announcements	Internal or external announcements or advertisements of job openings, promotions, training programs or opportunities for overtime.		2					All Departments	29 CFR 1602.49 (a) [State Universities]
31.013A	3.1.013	Employment Contracts	Including Faculty, Administrative and Professional appointment letters.  Executed on or after September 1, 2015.	AC	7			Expiration or termination of the contract according to its terms		All Departments	Government Code, 441.1855
31.013B	3.1.013	Employment Contracts	Including Faculty, Administrative and Professional appointment letters. <b>Executed on or before August 31, 2015 .</b>	AC	4			Expiration or termination of the contract according to its terms.		All Departments <b>VITAL RECORD</b>	Government Code, 441.1855





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31.014	3.1.014	Employment Selection Records	Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving record and previous injury checks, pre-employment physical examinations, pre-employment drug screening, test results, polygraph examination results, and all other records that document the selection process.	AC	2			Termination of employment		Office of Human Resources See 31.001 referencing candidates not hired. <b>VITAL RECORD</b>	29 CFR 1602.49(a) (State Agencies) 29 CFR 1602.49(a) (State Universities)
31.015	3.1.015	Employment Selection Records	Faculty and Executive Committee Members. Includes Notes of interviews with candidates; questions asked of applicants; audio and videotapes of job interviews; driving record and previous injury checks; pre-employment physical examinations; polygraph examination results; sanction checks; waiver requests; special circumstance requests; selection of candidate forms; cover sheets for faculty appointments; and all other records that document the selection process.	AC	3			Recruitment date.		Deans Office keeps faculty recruitment reports 75 years. See 31.001 referencing candidates not hired.  All records for Fellows are held by individual departments with notification to Deans Office.  President's office may retain records for applicants for executive Committee members and Department chairs for as long as they are administratively valuable.	
31.016	3.1	Employment Selection Records	Faculty/Post-Doc Candidate Search Records	AC	2			Date of Hiring decision.		Candidate search originates in the department. Human Resources do not get involved until candidate submits an employment application.	29 CFR 1602.49(a)



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31.018	3.1.018	Grievance Records	Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC	5			Termination of employment or final decision on grievance, whichever is longer.		CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U. S. Department of Labor. SEE item number 1.1.048. Office of Human Resources <b>VITAL RECORD</b>	
31.019	3.1.019	Performance Appraisals		AC	5			Termination of employment.		Office of Human Resources All Departments	29 CFR 1620.32(c)
31.020	3.1.020	Personnel Corrective Action Documentation	Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	AC	5			Termination of employment.		CAUTION: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from this series used to support disciplinary action must be retained for the minimum retention period described by item number 3.1.021. Office of Human Resources All Departments	



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31.021	3.1.021	Personnel Disciplinary Action Documentation	Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force; and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC	5			Termination of employment.		Office of Human Resources <b>VITAL RECORD</b>	
31.022	3.1.022	Personnel Information or Action Forms	Forms or similar records used to create or change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment.	AC	5			Termination of employment.		Office of Human Resources	29 CFR 1602.49(a)
31.023	3.1.023	Position/Job Descriptions		AC	4			Until superseded or job eliminated.		All Departments <b>VITAL RECORD</b>	40 TAC 815.106(i)
31.024	3.1.024	Physical Examinations/Medical Reports	Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.	AC	4			Until superseded or termination of employment.		Does NOT include pre-employment physical examinations. All Departments	



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31.026A	3.1.026	Criminal History Checks	Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC				The criminal history record has served the immediate purpose for which it was obtained or at the conclusion of the probationary term.		CAUTION: An agency that is authorized to obtain a criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information. Office of Human Resources	
31.026B	3.1.026	Criminal History Checks	Criminal history record information on employees obtained from the Federal Bureau of Investigation	AC				Termination of Employment		CAUTION: An agency that is authorized to obtain a criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information. EH	US NRC Order EA-07-305
31.027	3.1.027	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			Termination of Employment		Employee record to include Certificates of Completion and test scores for electronic training programs taken on-line through the Talent Aquisition Management (TAM) system. Office of Human Resources	
31.029	3.1.029	Employment Eligibility, Documentation or Verification of Federal reporting form (INS I-9)	Citizenship Documentation Federal Reporting Form INS9	AC	5			Termination of employment.		Office of Human Resources <b>VITAL RECORD</b>	8 CFR 274a.2(b)(2)(i)(A) and (c)(2)



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31.031	3.1.031	Employee Benefits	Agency copies of information relating to the selection of available benefit options other than insurance.	AC	5			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. Office of Human Resources <b>VITAL RECORD</b>	
31.034	3.1.034	Resumes – Unsolicited	Retention period applies if any agency replies to the sender of a resume that it will be kept on file should future job openings occur.	AV						P & E Office of Human Resources	
31.035A	3.1.035	Performance Bonds Executed on or after September 1, 2015.	Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency	AC	7			Expiration or termination of the bond according to its terms		CAUTION: Does NOT include construction or architectural surety bonds. SEE item 52.028. SEE related item 5.1.001 Contracts and Leases. Office of Human Resources	Government Code, 441.1855
31.035B	3.1.035	Performance Bonds Executed on or before August 31, 2015.	Candidate search originates in the department. Human Resources do not get involved until candidate submits an employment application.	AC	4			Expiration or termination of the bond according to its terms		CAUTION: Does NOT include construction or architectural surety bonds. SEE item 52.028. SEE related item 5.1.001 Contracts and Leases. Office of Human Resources <b>VITAL RECORD</b>	Government Code, 441.1855



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31.036	3.1.036	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					Office of Human Resources	29 CFR 30.8 (e).
31.037	3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc.	AC	5			Termination of employment		Office of Human Resources	
31.038	3.1.038	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 33.011. Office of Human Resources <b>VITAL RECORD</b>	
32.000	3.2	W-2 Listing		AC	4			After close of the calendar year		See item number 3.2.003 Payroll	
32.001	3.2.001	Employee Deduction Authorization		AC	4			Termination of Employee		Payroll <b>VITAL RECORD</b>	
32.002	3.2.002	Employee Earning Records			4					Payroll <b>VITAL RECORD</b>	40 TAC 815.106(i)
32.003	3.2.003	FICA Records		AC	4			Tax due date, date claim is filed, date tax is paid or after close of the calendar year, whichever is later.		Payroll <b>VITAL RECORD</b>	26 CFR 31.6001 – 1(e)(2)
32.004	3.2.004	Income Adjustment Authorizations	Documents used to make changes to gross pay, FICA, Retirement or in computation of taxes.		2					Payroll <b>VITAL RECORD</b>	29 CFR 516.6(C)



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32.005	3.2.005	W-4 Listing		AC	4			Until superseded, obsolete, or upon separation of employee.		Payroll <b>VITAL RECORD</b>	26 CFR 31.6001-1(e)(2)
32.006	3.2.006	Wage Rate Tables			2					Payroll	26 CFR 516.6(a)(2)
32.007	3.2.007	Unemployment Compensation Records Workers Compensation Reports	WCI records also include ancillary documents, medical statements, claim correspondence, carrier documents, lost time and wages forms.	CE	5					CE = year of incident Payroll Office of Human Resources	
32.008	3.2.008	Direct Deposit Applications and Authorizations		US						Payroll <b>VITAL RECORD</b>	
32.009	3.2.009	State Deferred Compensation Records		AC	5			All accounts with a vendor or vendors for the individual participant have been closed.		For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the Benefits Coordinator Reference Manual issued by the Employees Retirement System of Texas. Payroll <b>VITAL RECORD</b>	
32.010	3.2.010	Human Resources Information System (HRIS) Reports	Includes supporting documentation	FE	4					Office of Human Resources <b>VITAL RECORD</b>	
33.001	3.3.001	Affirmative Action Plans	Affirmative action plans for both regular employees and apprenticeship programs		5					EO	29 CFR 30.8 (e) for apprenticeship plans
33.004	3.3.004	Benefit Plans	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	US	1					Office of Human Resources	29 CFR 1627.3 (b) (2).
33.010	3.3.010	Labor Statistics Reports	Reports providing statistical information on labor force		3					Office of Human Resources	



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33.011	3.3.011	Former Employee Verification Records	Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC	75			Termination of employment		Office of Human Resources	
33.015	3.3.015	Positions/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency	US	3					Office of Human Resources	
33.020	3.3.020	Work Schedules/Assignments	Work, duty, shift, crew, or case schedules, rosters, or assignments.		1					All Departments	
33.022	3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the agency from TWC or its predecessor pertaining to employees.		3					Office of Human Resources	
33.023	3.3.023	Reimbursable Activities, Requests, and Authorizations to Engage in	Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE	3					Office of Human Resources	
33.024	3.3.024	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					Office of Human Resources	
33.025	3.3.025	Job Procedure Records	Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US	3					Office of Human Resources	





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33.026	3.3.026	Agency Staffing Reports	Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name, staff hired during a month, detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US	3					Office of Human Resources	
33.027	3.3.027	Aptitude and Skills Tests	Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US	2					CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated. Office of Human Resources	29 CFR 1602.49 [State Universities]
33.030	3.3.030	Training Administration Records	Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern an agency's programs, services or projects.	US	2					CAUTION: Does not include hazardous material training records. SEE item number 5.4.007. Office of Human Resources	
33.031	3.3.031	EEO Reports and Supporting Documentation	Includes documentation used to complete EEO Reports		3					EO	29 CFR 1602.32 29 CFR 1602.39 29 CFR 1602.41 29 CFR 1602.48 29 CFR 1602.50
33.032	3.3.032	Equal Pay Records	Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the Federal Equal Pay Act. (FERPA)		3					Office of Human Resources <b>VITAL RECORD</b>	29 CFR 1620.32



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33.033		Leave Records - FMLA	Family Medical Leave Act Files including and not limited to: • Military Leave or USERRA • Parental Leave • Sick Leave Donations (from one employee to another, not from the pool) • Catastrophic Sick Leave (from the sick leave pool) • Leave Without Pay • Emergency Leave	FE	4					Paper & Electronic  Office of Human Resources	
33.100		International Files		AC	7			After separation from UT Southwestern.		Used to track the visa history of International Employees International Office	
34.001	3.4.001	Accumulated Leave Adjustments Requests	Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances on August 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE	3					E All Departments	
34.002	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3					E All Departments <b>VITAL RECORD</b>	
34.003	3.4.003	Less Than Full-Time Worked Reports	Date and hours.		4					All Departments	40 TAC 815.106(i)
34.004	3.4.004	Overtime Authorizations			2					All Departments	
34.005	3.4.005	Overtime Schedules			2					All Departments	
34.006	3.4.006	Time Cards and Time Sheets			4					P & E All Departments	40 TAC 815.106(i)
34.007	3.4.007	Time Off and/or Sick Leave Requests		FE	3					All Departments	
34.008	3.4.008	Sick Leave Pool Documentation	Requests submitted, approvals, number of hours transferred in and out, etc.	FE	3					P & E Office of Human Resources	
41.001A	4.1.001	Accounts Payable Information		FE	3					Accounting	



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41.001B		Accounts Payable Information Financial Records Supporting Patents, Trademarks and Copyrights		AC	20			Expiration or abandonment of patent, trademark, or copyright.		Legal Affairs	
41.002	4.1.002	Billing Detail		FE	3					CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007. Accounting	
41.003	4.1.003	Canceled Checks/Check Stubs		FE	3					Accounting	
41.004	4.1.004	Encumbrance Detail		FE	3					Accounting	
41.005	4.1.005	Inventory and Other Cost Files,	Including Production, job, labor, quotes, pricing, specifications, etc.	FE	3					Accounting	
41.006	4.1.006	Investment Transaction Files		FE	3					Accounting	
41.007	4.1.007	Transfers or Budget Revisions	Transfers or adjustment to budgets.	FE	3					Accounting	
41.008	4.1.008	Electronic Fund Transfers: Direct Deposit Registers		FE	3					Accounting	
42	4.2	BuyCard <ul style="list-style-type: none"> <li>• Receipts</li> <li>• Charge Slips</li> <li>• Invoices</li> <li>• Compliance Review</li> <li>• Approved Exceptions by Management</li> <li>• PGAB Reports for Transactions sent to Accounting</li> <li>• Fleet Fuel Card Bank Statements and Invoices</li> <li>• Buy Card Bank Statements</li> </ul>		AC				AC = date documentation scanned into the P-Card Web Solution via OnBase. Retain paper originals for 90 days to confirm successful imaging. Retain electronic documents FE + 3 years from the transaction date.		See BuyCard Program Policies and Procedures Guide on the Supply Chain Management Webpage for further clarification.  All Departments	
42.001	4.2.001	Cash Deposit Vouchers	Cash deposit slips	FE	3					Accounting	
42.002	4.2.002	Cash Receipts	Receipts	FE	3					All Departments	
42.003	4.2.003	Daily Cash Receipts Logs		FE	3					Accounting	
42.004	4.2.004	Encumbrance Vouchers	Orders, statements, change orders, etc.	FE	3					Accounting	



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42.005	4.2.005	Purchase Vouchers and Invoices.	<ul style="list-style-type: none"> <li>• Requisitions</li> <li>• Receiving reports</li> <li>• Invoices</li> <li>• Statements</li> <li>• Change Orders</li> <li>• Best Value determinations</li> </ul>	FE	3				P and M: MICROFILMED RECORD. AV = Retention of Paper Records FE+3 = Retention of Microfilm Accounting		
42.006	4.2.006	Journals: General Journal, Trust Voucher Journal, Journal of Accounts, Cash Transfer Journal		FE	3				Accounting		
42.007	4.2.007	Expenditure Vouchers	Payroll, Travel	FE	3				Accounting		
43.000	4.3	Supporting Documentation for Registers		FE	3				Accounting		
43.001	4.3.001	Sales Journals or Registers		FE	3				Accounting		
43.002	4.3.002	Receipts Journals or Registers		FE	3				Accounting		
43.003	4.3.003	Expenditure Journals or Registers	Check Registers, Voucher Journals, Interdepartmental Requests	FE	3				Accounting		
44.001	4.4.001	General and Subsidiary Ledgers		FE	3				Accounting <b>VITAL RECORD</b>		
44.002	4.4.002	Accounts Receivable Ledgers		FE	3				Accounting <b>VITAL RECORD</b>		
44.003	4.4.003	Accounts Payable Ledgers		FE	3				Accounting <b>VITAL RECORD</b>		
44.004	4.4.004	Employee Savings Bond Ledgers		FE	3				Accounting <b>VITAL RECORD</b>		
45.000	4.5	Annual Financial Report - Working Papers	Work papers including 13th month post-closing report. Worksheets for preparing FISCAL Reports	FE	3				Accounting		
45.001	4.5.001	WORKSHEETS FOR PREPARING FISCAL REPORTS		FE	3				Accounting		
45.002	4.5.002	Internal Fiscal Management Reports	GRANT REPORTS, Monthly Financial Reports, Employee Travel Expense Reports	FE	3				Accounting		
45.003	4.5.003	Annual Financial Reports	Required by the General Appropriations Act (100 Day Report)	AC	6			September 1 of odd-numbered calendar years.	Component retains PM Record Copy send copies to PUB Accounting		
45.005A	4.5.005	External Fiscal Reports	Federal Financial Reports, Salary Reports, HUB Reports	FE	3				Accounting		



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45.005B	4.5.005	External Fiscal Reports	Federal Financial Reports, Salary Reports, HUB Reports	PM						External special purpose reports; Endowment Compliance; quarterly reports to UT System President's Office	
45.006A	4.5.006	Annual Operating Budgets	Required by the General Appropriations Act	FE	3					Accounting	
45.006B	4.5.006	Legislative Budget Requests		FE	3				I	Specific Budget for Medical School Budget	
45.007	4.5.007	USAS Reports – Daily		AC			30	Receipt and reconciliation of monthly report.		Accounting	
45.008	4.5.008	USAS Reports – Monthly		AC		12		Receipt and reconciliation of monthly report.		Accounting	
45.009	4.5.009	USAS Reports – Annual		FE	3					Accounting	
46.001	4.6.001	Balancing Records – Monthly		FE	3					Accounting	
46.002	4.6.002	Reconciliations		FE	3					Accounting	
46.003	4.6.003	Cash Counts, Cash Refunds, Bank orders for Cash, Weekly Cash Reports		FE	3					Records of Cash Refunded Accounting	
47.001	4.7.001	Accounting Policies and Procedures Manual		US	3					Accounting <b>VITAL RECORD</b>	
47.002	4.7.002	Bank Statements		FE	3					Accounting	
47.004	4.7.004	CAPITAL ASSET RECORDS		LA	3					Retain ALL documentation regarding asset for life of asset plus three years. Accounting Materials Mgmt.	
47.005	4.7.005	Claim Files		AC	3			Resolution of Claim		Accounting <b>VITAL RECORD</b>	
47.006	4.7.006	Comptroller Statements		FE	3					Accounting	
47.007	4.7.007	Detail Chart of Accounts	One for all accounts in use for a fiscal year.	FE	3					Accounting	



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47.008A	4.7.008	Grant Records: Federal Grant applications and Awards: Awarded	This series documents state and federal grant projects participated in or administered by state agencies. It includes grant authorization records, which provide evidence of the award of grants to or by agencies; grant/project financial or performance reports which are periodic reports of financial activity and/or program performance related to grants received or made by agencies	AC	4			Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that records are retained for the appropriate retention period. Retain documents in Research Grants and Contracts Office, then transfer to Retention for PM. Research Grants and Contracts Office/OPA <b>VITAL RECORD</b>	Government Code, 441.1855 OMB Circular A-110 2 CFR § 200.333
47.008B		Non-Federal Grant Proposals: Awarded		AC	4			Term of Grant		Retain documents in Research Grants and Contracts Office, then transfer to Retention for PM. Research Grants and Contracts Office/OPA	2 CFR § 200.333
47.008C	4.7	Non-Accepted Grants: Not Awarded		AC				Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).		All Nonaccepted/ not awarded grants are purged. Research Grants and Contracts Office/OPA <b>VITAL RECORD</b>	



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Archival Codes (Field 10)

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					Years	Months	Days				
47.008D	4.7.008	Clinical Trials/Agreements Executed Third Party		AC	15			Study after completion or after last contact with subject whichever is later and upon receipt of New Drug Approval (NDA) or Investigational New Drug (IND) withdrawal.		Grants for Clinical Trials/Drug Studies must be maintained AC+2 in accordance with 21 CFR 312.57, Unless otherwise required or defined in a grant or in a State or Federal regulation, transitory data that are interim to final results may be purged or deleted after it has met their administrative value as determined by the investigator. Federal grant records should comply with the retention schedule requirements set forth in OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures in the Federal Acquisition Regulations (FAR)	21 CFR 312.57 OMB Circular A-110, subpart C
47.009	4.7.009	Fixed Asset Sequential Number Logs		US	3					Asset Management	
47.010A	4.7.010	Long-Term Liability Records (Bonds, etc.)		AC	3			Retirement of Debt		Accounting VITAL RECORD	
47.010B		Bond Insurances & Debt Services		AC	3			Until maturity of Issue		Accounting VITAL RECORD	
47.010C		Bond Destruction Certificates		PM						Accounting <b>VITAL RECORD</b>	
47.011	4.7.011	Building and Procurement Commission Statements		FE	3					Accounting	
47.012	4.7.012	Signature Authorizations	Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	AC	3			US + FE		Contracts Management	
47.013		Student Loans, Notes and Related Records		AC	5			Date of Repayment		Accounting Student Financial Services	



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47.014		Bank Collateral Records		FE	5					Accounting	
51.000A	5.1.000	Maps of University owned properties		LA						Necessary for historical value.	Education Code 66.77
51.000B	5.1.000	Maps of University leased properties		US							
51.001A	5.1.001	Contracts and Leases  <i>Executed on or after September 1, 2015</i>	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents also include: drawings, specifications, bonds, PURCHASE ORDERS, HUB Subcontract Plans, inspection reports, insurance certifications, contract logs, purchase order logs and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts contract Management Guide.	AC	7			Expiration/Termination according to contract terms; SEE related item numbers 3.1.036, Performance Bonds, 4.2.005 Purchase Vouchers, and 5.3.007 Bid Documentation. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.		<b>Originals retained in Accounting NOTE: Medical Equipment records are required to be retained for 25 years, based on FDA/JCAHO requirements. Data Ohmeda bi-annually reviews/checks calibration of anesthesia machines. Contracts Management Purchasing Facilities Management BIOMED UT Hospitals VITAL RECORD</b>	Government Code, 441.1855
51.001B	5.1.001	Contracts and Leases  <i>Executed on or before August 31, 2015</i>	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents also include: drawings, specifications, bonds, PURCHASE ORDERS, HUB Subcontract Plans, inspection reports, insurance certifications, contract logs, purchase order logs and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts contract Management Guide.	AC	4			Expiration/Termination according to contract terms; SEE related item numbers 3.1.036, Performance Bonds, 4.2.005 Purchase Vouchers, and 5.3.007 Bid Documentation. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.		<b>Originals retained in Accounting NOTE: Medical Equipment records are required to be retained for 25 years, based on FDA/JCAHO requirements. Data Ohmeda bi-annually reviews/checks calibration of anesthesia machines. Contracts Management Purchasing Facilities Management BIOMED UT Hospitals VITAL RECORD</b>	Government Code, 441.1855
51.003	5.1.003	Delivery Reports			2					Mail Services Print Shop Receiving Asset Management	





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					Years	Months	Days				
51.004	5.1.004	Mail & Telecommunications Listings	Any mailing address, telephone or fax number or email address records maintained by an agency on its employees or on entities or persons it serves.	US						All Departments	
51.005	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage.	FE	3					All Departments	
51.007	5.1.007	Requisitions for In-Agency, Inter-Agency Copy/Printing Service	Includes word processing and data processing	AV						All Departments Print Shop	
51.010	5.1.010	Licenses and Permits for Non-vehicles	Does not include licenses and permits issued by an agency as part of it's statutory responsibilities	AC	2			Date of Expiration of License or Permit.		All Departments <b>VITAL RECORD</b>	
51.011	5.1.011	Photocopier and Telefax Usage Logs & Reports		AV						All Departments	
51.012	5.1.012	Charge Schedules/Price Lists	Schedules of processes charged by an agency for services to the public or other agencies, including any documentation used to determine the charges	US	3					All Departments	
51.013A	5.1.013	Insurance Policies for Vehicles and Equipment.  <i>Executed on or after September 1, 2015 .</i>		AC	7			Expiration or termination of the policy according to its terms.		Office of Executive VP for Business Affairs <b>VITAL RECORD</b>	Government Code, 441.1855
51.013B	5.1.013	Insurance Policies for Vehicles and Equipment.  <i>Executed on or before August 31, 2015</i>		AC	4			Expiration or termination of the policy according to its terms.		Office of Executive VP for Business Affairs <b>VITAL RECORD</b>	Government Code, 441.1855



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					Years	Months	Days				
51.014	5.1.014	Office Procedures	Any internally distributed manual, guidelines or similar records that establish standard office procedures for an agency; for example: agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions	US	1					All Departments	
51.015	5.1.015	Correspondence Tracking Records	Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the US Postal Service or by private couriers.		1					Receiving Mail Services	
51.017	5.1.017	Contract Log	List of agency contracts, leases and agreements including general obligation, land lease, utilities and construction contracts.	FE	3					Contracts Management	
52.001	5.2.001	Appraisals – Building or Property		AV						O Office of Business Affairs <b>VITAL RECORD</b>	
52.002	5.2.002	Building Construction Project Files	Planning, design and construction records, accepted and rejected bids, contracts and inspection correspondence	AC	11			Completion of Project		O Facilities Management Admin <b>VITAL RECORD</b>	
52.003	5.2.003	Building plans and specifications	Includes architectural and engineering drawings, profiles and blueprints for new & renovation	LA						O LIFE OF THE ASSET Facilities Management Admin <b>VITAL RECORD</b>	
52.004	5.2.004	Building Space Request			1					Office of Planning and Institutional Studies	
52.005A	5.2.005	Medical Equipment Calibration (Equipment or Instrument)			25					NOTE: Medical Equipment records are required to be retained for 25 years, based on FDA/JCAHO requirements. BIOMED HOSPITAL	



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					Years	Months	Days				
52.005B	5.2.005	Calibration Records - Radiation Dose Measurement Equipment or Instrument			10					OSBC/Radiation Safety	25 TAC 289.202(nn)(1); 25 TAC 289.202(ggg)5; 25 TAC 256 (v) 4 and 25 TAC 256 (w) 5
52.005C		Calibration Records - Radiation Monitoring Equipment			10					OSBC/Radiation Safety	25 TAC 289.202(nn)(1) 25 TAC 289.202(ggg)5; 25 TAC 256 (v) 4 and 25 TAC 256 (w) 5
52.006	5.2.006	Property Destruction Certificates		FE	3					Salvage/Scrap Asset Management	
52.007	5.2.007	Damage Reports	Reports of damage to state property.	FE	3					Damaged or Destroyed Equipment Asset Management All Departments	
52.008	5.2.008	Equipment History File, Equipment Service Agreements	Agreements or contracts between the agency and equipment vendor to provide maintenance service for equipment vendor to provide maintenance service for equipment. Includes requests for installation, moves, service, etc. and service/repair logbooks, etc.	LA	3					NOTE: Medical equipment records are required to be retained for 25 years (see 52.005), based on FDA/JCAHO requirements. All Departments BIOMED HOSPITALS	



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					Years	Months	Days				
52.008A	5.2.008	Equipment History File, Equipment Service Agreements  <i>Executed on or after September 1, 2015.</i>	Includes requests for installation, moves, service, etc. and service/repair logbooks, etc.	LA	7					For Service agreements or contracts related to equipment repairs and service, retain in accordance with AIN 51.001.  CAUTION NOTE: Medical equipment records are required to be retained for 25 years (See 52.005), based on FDA/JCAHO requirement.	
52.008B	5.2.008	Equipment History File, Equipment Service Agreements  <i>Executed on or before August 31, 2015 .</i>	Includes requests for installation, moves, service, etc. and service/repair logbooks, etc.	LA	4					For Service agreements or contracts related to equipment repairs and service, retain in accordance with AIN 51.001.  CAUTION NOTE: Medical equipment records are required to be retained for 25 years, based on FDA/JCAHO requirement.	
52.009A	5.2.009	Medical Equipment Inventory Detail			25					NOTE: Medical equipment records are required to be retained for 25 years (see 52.005), based on FDA/JCAHO requirements. BIOMED HOSPITALS	
52.009B	5.2.009	Equipment Inventory Detail		FE	3					Updates agency portion of the inventory listing and adds, changes, transfers or deletes items from inventory. Asset Management	



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					Years	Months	Days				
52.010	5.2.010	Equipment Manuals Hospital Equipment Manuals		LA						NOTE: Medical equipment records are required to be retained for 25 years (see 52.005), based on FDA/JCAHO requirements. BIOMED HOSPITALS All Departments	
52.011A	5.2.011	Equipment Warranties Medical Equipment		AC	25			Expiration of warranty.		NOTE: Medical equipment records are required to be retained for 25 years, based on FDA/JCAHO requirements. BIOMED HOSPITALS	
52.011B	5.2.011	Equipment Warranties		AC	1			Expiration of Warranty		All Departments	
52.012	5.2.012	Estimate Files (Supply & Repair Cost Estimates)			1					All Departments	
52.014	5.2.014	Annual Inventory Record	Property, equipment, supply verification	FE	3					Asset Management All Departments	
52.015	5.2.015	Inventory, Notices of Equipment Removal		FE	3					REFC forms and loan agreements Asset Management	
52.016	5.2.016	Inventory Monthly Updates	Listing shows all additional, changes, deletions and transfer times for the monthly processing period.	AC	1			Date of system update transaction.		Asset Management	
52.017	5.2.017	Lost & Stolen Property Reports		FE	3					Asset Management University Police	
52.018	5.2.018	Quality Control Reports			2					Facilities Management	
52.019A	5.2.019	Medical Equipment: Service Orders	Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts and remarks.		25					NOTE: Medical equipment records are required to be retained for 25 years, based on FDA/JCAHO requirements. BIOMED HOSPITALS	
52.019B	5.2.019	Non-Medical: Service Orders	Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts and remarks.		1					Facilities Management	



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52.020	5.2.020	Supply Usage Reports		FE	1					Facilities Management	
52.021	5.2.021	Surplus Property Sale Reports		FE	3					Auction or Direct Sales Asset Management	
52.022	5.2.022	Utility Usage Reports		AV						AV = Administrative Value Facilities Management	
52.023	5.2.023	Year-to-Date Activity Inventory	Additions, Changes, Transfers and Administrative Deletions.	FE	3					Adjustments to records not including disposals from inventory Control	
52.024		Master Plans for Campus & Buildings		LA						Life of Asset Facilities Management Admin	
52.025		Facilities Management Maintenance: Outside Contractor		PM						E Facilities Management Admin	
52.026		Facilities Management Maintenance: In-house Staff Records		PM						E Facilities Management Admin	
52.028	5.2.028	Building Construction Contract and Inspection Records	Building Construction Contracts, surety bonds, and inspection records.	LA	10				I	Review required prior to disposal. SEE ALSO item numbers 5.2.002 and 5.2.003. Facilities Management Admin <b>VITAL RECORD</b>	
52.030		Vehicles Operations Log			1					Facilities Management Admin	
52.031	5.1.012	Charge Schedules	Price Lists including cost records, materials and overhead	US	3					Facilities Management Admin	
53.002A	5.3.002	Freight Bills		FE	3					Receiving	



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					Years	Months	Days				
53.002B	5.3.002	Freight Bills - International		AC	5			(1) The export from the United States of the item involved in the transaction to which the records pertain or the provision of financing, transporting or other service for or on behalf of end-users of proliferation concern as described in §736.2(b)(7) and 744.6 of the EAR; (2) Any known re-export, transshipment, or diversion of such item; (3) Any other termination of the transaction, whether formally in writing or by any other means; or (4) In the case of records of pertaining to transactions involving restrictive trade practices or boycotts described in part 760 of the EAR, the date the regulated person receives the Boycott-related request or requirement.		Receiving	
53.003	5.3.003	Freight Claims		AC	2			Resolution of claim		All Departments	
53.004	5.3.004	Order – Acknowledgements		AV						All Departments	
53.005	5.3.005	Packing Slips		AV					I	All Departments	



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					Years	Months	Days				
53.007A	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, requests for information, requests for qualifications, bid specifications accepted and rejected bids and bid tabulation/evaluations.	AC	7			Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.		CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. See item number 51.001 and 52.028. Purchasing <b><i>Associated with a contract executed, renewed or amended on or after September 1, 2015.</i></b>	
53.007B	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, requests for information, requests for qualifications, bid specifications accepted and rejected bids and bid tabulation/evaluations.	AC	4			Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.		CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. See item number 51.001 and 52.028. Purchasing <b><i>Associated with a contract executed, renewed or amended on or before August 31, 2015.</i></b>	





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53.007C	5.3.007	Unsuccessful Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, requests for information, requests for qualifications, bid specifications accepted and rejected bids and bid tabulation/evaluations.	AC	2			Date of notification of denial or Date of withdrawal, as applicable.		Unsuccessful bids that do not meet agency submission requirements and are not included in bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.)	
53.008	5.3.008	Purchasing Logs	Log, register, etc., providing a record of purchase orders issued, orders received and similar data on procurement status.	FE	3					All Departments	
53.009	5.3.009	Requests for Information	Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC				Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable		CAUTION: If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with AIN 53.007.  All Departments	
54.001	5.4.001	Accident Reports and Associated Documentation	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally on accident frequency.	CE	5					The Texas Department of Insurance retains copies of the reports submitted to it for 50 years. All Departments <b>VITAL RECORD</b>	29 CFR 1904.33
54.002	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in case of emergency.	US						All Departments	
54.003A	5.4.003	Inspection Records		AC	3			Date of inspection or Date of the correction of the deficiency if the inspection report reveals a deficiency.		Facilities Management Admin	



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54.003B	5.4.003	Inspection Records	Fire, safety, and other inspection records of UT Southwestern facilities and equipment	AC	3			Inspection, or Date of the correction of the deficiency if the inspection report reveals a deficiency.		NFPA 101, 2006 Ed CAUTION: Does not include inspection reports of building construction. SEE item number 52.028 OSBC/Fire Safety	
54.003C	5.4.003	Inspection Records	State Registration for X-ray producing devices and Licensing for Radioactive Material	AC				After registration or license termination or lesser requirement per Department of State Health Services		OSBC/Radiation Safety	25 TAC § 289
54.004	5.4.004	Fire Orders		PM						OSBC/Fire Safety	
54.007A	5.4.007	Hazardous Materials Training Records	Texas Hazardous Communications Act		5					OSBC/Chemical and Bio Safety	Texas Health and Safety Code, 502.009(g) OSBC
54.007B		Hazardous Materials Training Records	Biosafety and Security		3					OSBC/Chemical and Bio Safety	14 CFR 135.507(a)
54.008	5.4.008	Hazard Communication Plans		US	5					OSBC/Chemical Safety <b>VITAL RECORD</b>	Texas Health and Safety Code, 502.009(g)
54.009	5.4.009	Workplace Chemical Lists			30					OSBC/Chemical Safety <b>VITAL RECORD</b>	Texas Health and Safety Code, 502.005(d)
54.010A	5.4.010	Material Safety Data Sheets		US						Electronic Format on the web. OSBC/Chemical Safety	
54.010B	5.4.010	Material Safety Data Sheets		US						Paper Format for Facilities Management to hand out to employees. Facilities Management	
54.011	5.4.011	Visitor Control Records	Logs, registers or similar records documenting visitors to limited access or restricted areas of agency facilities.		3					Hospital Materials Mgmt.	



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					Years	Months	Days				
54.012	5.4.012	Security Access Records	Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency facilities, equipment or automated systems.	AC	2			Until superseded, Date of expiration, or Date of termination, whichever sooner.		University Police <b>VITAL RECORD</b>	
54.013A	5.4.013	Disaster Preparedness and Recovery Plans		US						Business Affairs All Departments <b>VITAL RECORD</b>	
54.013B	1.2.015	Disaster Recovery Service Transmittals (RMD 109)		FE	1					Business Affairs All Departments	
54.013C	1.2.016	Disaster Recovery Service Approval Form (RMD 113)	Agency copy of Form	AC				Until superseded or termination of service		Business Affairs All Departments	
55.001	5.5.001	Billing Detail – Telecommunications (Other Than TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long distance calls	FE	3					SEE item number 55.006 for TEX-AN billing detail. IR	
55.002	5.5.002	Long Distance Telephone Logs	Long distance logs created by agencies for internal documentation purposes. Includes any similar logs created for long distance facsimile or electronic transmissions	AV						IR	
55.003	5.5.003	Station Activity Reports	Internal listing of incoming/outgoing telephone activity to individual telephone stations.	AV						IR	
55.004	5.5.004	System Activity Reports	Internal listing of all incoming/outgoing agency telephone activity.	AV						IR	



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55.006	5.5.006	Billing Detail - Telecommunications (TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE	3					The billing agency will maintain all long distance TEX-AN records and will provide each using agency its bill summary of centralized capitol complex telephone service without call detail records. For these bill summaries, SEE item number 47.011. SEE item number 55.001 for billing detail from carriers other than TEXAN. IR	
55.007	5.5.007	Disputed Call Documentation	Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use.	FE	3					IR	
56.003	5.6.003	Inspection Repair and Maintenance Records – Vehicles		LA	1					Facilities Management	
56.004	5.6.004	License and Driving Record Checks		AC				Until superseded or until termination of employment.		University Police	
56.005	5.6.005	Vehicle Use Reports		FE	3					All Departments	
56.007	5.6.007	Vehicle Titles & Registrations		LA						Office of Business Affairs <b>VITAL RECORD</b>	
56.009A	5.6.009	Parking Permits or Assignments		US						Also includes parking waivers, parking salary deduction agreements, parking waiting lists. Auxiliary Services	



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56.009B		Traffic Citations or Warnings		AC				Warnings (all types), paid citations, and citations for unknown owner (all types) – 3 years; Unpaid Citations for those not affiliated with UT Southwestern – 5 years; Unpaid Citations for persons affiliated with UT Southwestern = AC+3, where termination or graduation University Police			Family6 Code 58.001c
57.000A		Police Incident Reports - Non-Criminal	Non-criminal incidents investigated by the University Police Department.	AC	3			Date of last report supplement		University Police	
57.000B		Police Offense Reports - Non-Criminal Juvenile	Non-criminal incidents that department investigates that involve juveniles.	AC				Destroy immediately for non-referred cases. For referred cases, destroy when juvenile reaches the age of 18. .			
57.001		Police Offense Reports / Felonies (Does not include Murder, Manslaughter, or Sexual Assault)	Documents offenses, <b>except</b> murder, manslaughter or sexual assault that occur within the University Police Department's primary jurisdiction that violate state laws or regulation. Record series includes without limitation the case number, type of report, date, time, complainant or victim, address and details of report.		10					NOTE: Cases not 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 <i>nolle prosequi</i> should be retained until the expiration of the statute of limitations for all offenses. University Police	



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57.002		Police Offense Reports / Felonies (Murder, Manslaughter, or Sexual Assault)	Documents offenses of murder, manslaughter, or sexual assault that occur within the University Police Department's primary jurisdiction that violate state laws and regulations. Record series includes without limitation the case number, type of report, date, time, complainant or victim, address and details of report.		50					NOTES: Cases not 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 <i>nolle prosequi</i> should be retained until the expiration of the statute of limitations for all offenses.	
57.003		Police Offense Reports / Misdemeanors	Documents misdemeanor offenses that occur within the University Police Department's primary jurisdiction that violate state or local laws and regulation. Record series includes without limitation the case number, type of report, date, time, complainant or victim, address and details of report.	AC				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. Class C misdemeanors and unclassified violations of state law or local ordinance punishable by fine only (including arrest reports and citations: 6 months. Class A and B misdemeanors and state jail felonies: 2 years.		AV = Copies of documents in offense investigation records the originals of which are maintained by, filed with, or returned to a court of other state or local law enforcement agency need to 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.	



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57.003A		Police Offense Reports - Juvenile	Documents offenses that occur within the University Police Department's primary jurisdiction that violate state or local laws and regulations and involve juvenile offenders. Record series includes without limitation the case number, type of report, date, time, complainant or victim, address and details of report.	PM						Records involve juveniles adjudicated for delinquent conduct (Class A or B misdemeanor or any felony). The record is a permanent record that is not destroyed or erased unless the record is eligible for sealing and the child or the child's family hires a lawyer to file a petition in court to have the record sealed. Records are generally confidential, but can be accessed by police, sheriff's officers, prosecutors, probation officers, correctional officers, and other criminal and designed to limit access to juvenile records after the offender reaches 21 years of age if they do not commit criminal offenses after becoming 17 years of age.	
57.004A		Personnel Background Information for Uniformed Officers – Hired	This series consists of requests for, and results of, criminal and other background checks and information on employees. Original documents forwarded to UT System.	AC	5			Termination of employment		University Police	
57.004B		Personnel Background Information for Uniformed Officers – Not Hired	This series consists of requests for, and results of, criminal and other background checks and information on applicants.		3					University Police	



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57.005		Vehicle Accident Reports	This series documents accidents involving vehicles owned by UT Southwestern. This series includes without limitation: vehicle accident reports; vehicle accident claims, damage or loss of state property reports and related documentation and correspondence. Information may include vehicle type and identification number; name of party using the vehicle, notation of condition before and after use, and authorizing signatures.		3					This record series only applies if no personal injury is involved. University Police	
57.006		Personnel Background Information for Civilian Police Personnel – Hired	This series consists of requests for, and results of, criminal and other background checks and information on employees.	AC	5			Termination of employment		University Police	
57.006A		Personnel Background Information for Civilian Police Personnel – Not Hired	This series consists of requests for, and results of, criminal and other background checks and information on applicants.		3					University Police	
57.007		Police Fingerprint Cards		AV						University Police	
57.008		Security / Safety Notices and Warnings		AC			30	Date security problem corrected.		University Police	
57.010		Criminal History Master File	Records tracking inquiries for the receipt of information, including criminal histories.	AV						AV = Statute of Limitations University Police	





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57.011	5.4.011	Building Access Control Records	This series controls access to specific buildings, departments, rooms or areas. This series may include access lists sign in sheets, logs, registers, instruction books, emergency contact records, or records recording actions of University Police Personnel in opening up University facilities for University personnel.		3					University Police	
57.012		Vehicle Assistance Records	Includes jumper cable service, unlocking doors, etc.		1					University Police	
57.013		Building Security Surveys	Periodic reports of surveys of facilities conducted by University Police personnel and shared with departments. Reports are used by departments to update or enhance security measures for the facilities.	US	20					University Police	
57.014		Recordings of Police Communications or Actions	These records, in any media, document calls for emergency assistance or recordings of radio communications or police activities.				30			CAUTION: Reuse or destroy in 30 days only if not required to support known investigations or litigation. University Police	
57.015		Surveillance Video Recordings	These records, in any media, consist of surveillance video created to monitor activities occurring within or outside of institutional buildings.				30			CAUTION: Reuse or destroy in 30 days only if not required to support known investigations or litigation. University Police	
57.016		Dispatch Reports	Reports created by dispatcher on each call for service showing date and time of call received, nature of call, and details of action taken in response to call.		2					University Police	



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57.018		Criminal History Checks	Criminal history record information including criminal conviction record information, on job applicants or University employees obtained from a criminal justice agency. (e.g., Texas Department of Public Safety).	AC				The criminal history record information has served the immediate purpose for which it was obtained. i.e., end of probationary period for University employees or 180 days after such information is obtained for positions without a probationary period.		University Police	NOTE: See Texas Government Code Sections 411.135.411.082
57.019		Damage Reports		FE	3					University Police	
57.020		Lost and Stolen Property Reports		FE	3					University Police	
57.070	1.1.070	University Rules, Policies, and Procedures – Final	University Police Includes final copy of manuals, guidelines, general orders, administrative rules, code of conduct, or similar records distributed internally in University Police Department for the use of employees or externally to the public or those individuals or entities regulated by the Department that sets out the rules, policies, and procedures that govern the Department’s programs, services or projects.	PM				Completion or termination of program, rules, policies or procedures.		Only code of conduct must be kept permanently. University Police	



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57.080	3.1.026	Criminal History Checks	Criminal history record information, including criminal conviction record information, on job applicants or University employees obtained from a criminal justice agency (e.g., Texas Department of Public Safety).	AC				The criminal history record information has served the immediate purpose for which it was obtained, i.e., end of probationary period for University employees, or 180 days after such information is obtained for positions without a probationary period.		University Police	NOTE: See Texas Government Code Sections 411.135, 411.082.
60.001		MEDICAL RESEARCH/CLINICAL TRIALS	Research data and documentation gathered or created in the course of a clinical trial. May include case reports, shipping records, research data from investigators, internal research data, approved protocols and all amendments, approved consent forms, drug/device accountability logs, study participants master contact log	AC	7			Completion of study	I	Unless otherwise required or defined in a grant or in a State or Federal regulation, transitory data which is interim to final results may be purged or deleted after it has met its administrative value as determined by the investigator. CAUTION: Keep PM if one or more patent applications are filed on subject. Individual PI	



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60.001A		REGULATED RESEARCH DATA.	FDA Oversight involving drugs or devices. Research documentation and raw data obtained in the course of a study. May include Investigators' Notebooks for new drugs (laboratory notes documenting the results of experiments involving new drugs), patient files, case files, and other records of the dates, quantity and use of a new drug on subjects study, protocols/designs and amendments, FDA forms, pharmaceutical studies, findings, research papers and serious adverse events reports.	AC	15			Study completion or after last contact with subject whichever is later.	I	Records must be retained in accordance with the specific guidelines of the grant or cooperative agreement. Federal grant records should comply with the retention requirements set forth on OMB circular A-110, subpart C. Federal contract records should comply with the policies and procedures for retention of records by contractors as stated in the Federal Acquisition Regulation (FAR) Subpart 4.7. Grants from other sources may have specific retention requirement which must be followed. Unless otherwise required or defined in a grant or in a State or Federal regulation, transitory data which is interim to final results may be purged or deleted after it has met its administrative value as determined by the investigator. Individual PI	



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60.001B		RESEARCH DATA FOR RESEARCH THAT IS EXEMPT FROM HUMAN SUBJECTS REVIEW	Includes basic science data. Research documentation and data obtained during the course of a study, which either does not use humans as study subjects or which is exempt from review. Documentation may include anonymous surveys or questionnaires, research data from using animal subjects, etc.	AC	7			Completion of study	I	Unless otherwise required or defined in a grant or in a State or Federal regulation, transitory data which is interim to final results may be purged or deleted after it has met its administrative value as determined by the investigator. Individual PI	
60.001C		EQUIPMENT GENERATED DATA		AV					I	Equipment generated data such as DNA sequencing may be transitory and may be deleted once it has met its administrative value as determined by the investigator. Individual PI	
60.002		Protocols/Proposals, funded		AC	10			Approval Date of Funding		Individual PI	
60.003		Protocols/Proposals, un-funded		AC	10			Notification Date of Research not being funded.		Individual PI	
60.004		Tissue Donor Records -- Human Brain Tissue.	Completed bequeathal forms and cadaver information for people who have donated their body organs or other body parts to the University. Series includes donated Human Brain Tissue Records and Research Brain tissue Collaborator Logs. Tissue is owned and collected by Department of Psychiatry.	PM						The human tissue collection is owned by UTSW and is not tied to a specific study. Use of the tissue in future studies is wholly dependent on the complete and accurate retention of the tissue documentation. The donated Human Brain Tissue collection is different from the Willed Body Program. See 64.001 regarding Willed Body Program Records.	



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60.005		Tissue Donor Records -- Animal Brain Tissue	Records and logs used to document the history and genetic makeup of animal brain tissue in the UTSW collection. Tissue is collected and owned by Department of Psychiatry.	PM						These records are kept by the Department of Psychiatry. SEE 60.001B regarding retention of research data from using animal subjects.	
61.001		Health System & CMC Legacy Ambulatory Services	Aston Clinic Payments WAF's (Work Assignment Forms), batch transmittal slips, pegboards, checks and EOB's (Explanation of Benefits)	FE	6	6				EOB data and related remittance data stored on the "O" Drive (stored in PDF, TXT, ERN, and Microsoft Excel/Access & HIPAA EDI 835 formats). MSRD Billing Operations	
61.002		Credit Card Payments	WAF's, settlement report, copies of statements and envelopes	FE	6	1				MSRD Billing Operations	
61.003		Departmental Payments	WAF's, cash receipt copies, checks, EFT (electronic fund transfer) payments, EOB's, posting spreadsheets, T&A forms	FE	6	1				EOB data and related remittance data stored on the "O" Drive (stored in PDF, TXT, ERN, and Microsoft Excel/Access & HIPAA EDI 835 formats). MSRD Billing Operations	
61.004		GTL Payments (Guaranteed Trust Life Ins.)	WAF's, EFT payments and EOB's	FE	6	1				EOB data and related remittance data stored on the "O" Drive (stored in PDF, TXT, ERN, and Microsoft Excel/Access & HIPAA EDI 835 formats). MSRD Billing Operations	



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61.005		Insurance/Managed Care Payments	WAF's, checks and EOB's	FE	6	1				EOB data and related remittance data stored on the "O" Drive (stored in PDF, TXT, ERN, and Microsoft Excel/Access & HIPAA EDI 835 formats). MSRD Billing Operations	
61.006		Lockbox #841644 Payments	WAF's, cash receipt copies, checks and posting spreadsheets	FE	6	1				MSRD Billing Operations	
61.007		Medicaid and Medicare Payments	Manually Posted WAF's, EFT payments and EOB's	FE	6	1				EOB data and related remittance data stored on the "O" Drive (stored in PDF, TXT, ERN, and Microsoft Excel/Access & HIPAA EDI 835 formats). MSRD Billing Operations	
61.008		Out-of-State Medicaid Payments	WAF's, checks, EFT payments and EOB's	FE	6	1				EOB data and related remittance data stored on the "O" Drive (stored in PDF, TXT, ERN, and Microsoft Excel/Access & HIPAA EDI 835 formats). MSRD Billing Operations	
61.009		Patient Payments	WAF's, checks, statements, envelopes Account Services – WAF's, cash receipt copies and posting spreadsheet	FE	6	1				MSRD Billing Operations	
61.010		Special Payments	WAF's, checks, settlements and allocations	FE	6	1				MSRD Billing Operations	



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61.011		Transferred Payments from UTSW Hospitals	Copies of JV's, checks, credit card payments, statements and EOB's	FE	6	1				EOB data and related remittance data stored on the "O" Drive (stored in PDF, TXT, ERN, and Microsoft Excel/Access & HIPAA EDI 835 formats). MSRDP Billing Operations		
61.012		UTSW Office Payments	WAF's, checks, cash receipt copies, EFT payments, posting spreadsheets and EOB's	FE	6	1				EOB data and related remittance data stored on the "O" Drive (stored in PDF, TXT, ERN, and Microsoft Excel/Access & HIPAA EDI 835 formats). MSRDP Billing Operations		
61.013		Provider Adjustments	BCBS (Report Pages) Medicare (Report Pages) Medicaid (Report Pages)	FE	6	1				MSRDP Billing Operations		
61.014		Edits/Reject EOB's	Medicare (Report Pages) Medicaid (Report Pages) ESI (Report Pages) BCBS (Report Pages)	FE	6	1				EOB data and related remittance data stored on the "O" Drive (stored in PDF, TXT, ERN, and Microsoft Excel/Access & HIPAA EDI 835 formats). MSRDP Billing Operations		
61.015		IDR's (Interdepartmental Requisitions), WAF's, EOB's and posting spreadsheets		FE	6	1				EOB data and related remittance data stored on the "O" Drive (stored in PDF, TXT, ERN, and Microsoft Excel/Access & HIPAA EDI 835 formats). MSRDP Billing Operations		





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					Years	Months	Days				
61.016		No-Pay/Denial EOB's	Posted by Revenue Accounting Application Group WAF's	FE	6	1				EOB data and related remittance data stored on the "O" Drive (stored in PDF, TXT, ERN, and Microsoft Excel/Access & HIPAA EDI 835 formats). MSRDP Billing Operations	
61.017		Recoups/offsets EOB's		FE	6	1				EOB data and related remittance data stored on the "O" Drive (stored in PDF, TXT, ERN, and Microsoft Excel/Access & HIPAA EDI 835 formats). MSRDP Billing Operations	
61.018		Account Services WAF's, cash receipt copies, settlement report, copies of statements and envelopes		FE	6	1				MSRDP Billing Operations	
61.019		Account Services Legal Documents	Liens filed with the court which may include affidavits, Billing records, medical records.	FE	7					MSRDP Billing Operations	



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62.001	3.4.006	ADP Software (time clock info) ADP Information (E-Time reports and OT – also kept E on “O” Drive and purged every month.)			4					P & E Unit electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read. NOTE: Software needed for access to electronic records must be retained for the period of time required to access the records. MSRDP Finance Admin.	
62.002		Aston Transfers		FE	4					MSRDP Finance Admin	
62.003		Audit Reports/Settlements/Escheat HMO		AC	9			After completion or close of Audit.		MSRDP Finance Admin.	
62.004		COMP FILES POSITION JOB DESCRIPTION SURVEYS	Project timesheet, memos	AC	6			After close of survey and utilization		MSRDP Finance Admin.	



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62.005		MSRDP Finance Reports GE/IDX Only Reports	P	FE	5	1				<p>Most of the reports generated out of other source data such as (i.e. Data Warehouse/Decision Supports, GE/IDX and EPIC sources). Records kept "E" (electronically) on "W" drive for one month (W:\Finance\subdirectory – folders). Then records, especially Year End Reports, are archived to "Y" drive (server stored at Data Center). For all records other than year end, 5 years retention. Security: IT For Access to: W:\Finance\subdirectory – folders – granted by Linda Anderson, Bill Fox or Jordan Lin in MSRDP Finance. MSRDP Finance Admin.</p>	



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62.005A		MSRDP Finance Reports (Expanded)	Expanded Invoice (invoice detail table – Tarvinator/Charge Analyzer for depts.) Facility Group (751) Analysis Facility (750) Analysis UTMKCS (clinical space cost survey) Provider Analysis TES (Transaction Edit System) Write-off vs. last month	FE	10					Most of the reports generated out of other source data such as (i.e. Data Warehouse/Decision Supports, GE/IDX and EPIC sources). Records kept “E” (electronically) on “W” drive for one month (W:\Finance\subdirectory – folders). Then records, especially Year End Reports, are archived to “Y” drive (server stored at Data Center). Expanded Invoice – Maintained on SW2K Analyzer Server For all records other than year end, 5 years retention. Security: IT For Access to: W:\Finance\subdirectory – folders – granted by Linda Anderson, Bill Fox or Jordan Lin in MSRDP Finance. MSRDP Finance Admin.	



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62.006		MSRDP Finance Reports Electronic Medical Information and Practice Management System (EPIC) Only Reports	(In development) EPIC Accounts Receivables for Depts. EPIC Income Analysis for Depts. EPIC Master Table for Depts. EPIC Month-to-month Income Analysis Report for Depts. (produced weekly)	FE	5	1				Most of the reports generated out of other source data such as (i.e. Data Warehouse/Decision Supports, GE/IDX and EPIC sources). Records kept "E" (electronically) on "W" drive for one month (W:\Finance\subdirectory – folders). Then records, especially Year End Reports, are archived to "Y" drive (server stored at Data Center). For all records other than year end, 5 years retention. Security: IT For Access to: W:\Finance\subdirectory – folders – granted by Linda Anderson, Bill Fox or Jordan Lin in MSRDP Finance. MSRDP Finance Admin.	



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62.007		MSRDP Finance Reports Combined Reports	(In development) Income Statement for Depts. Parkland RVU Contract for Depts. RVU Analysis for Depts. Combined Income Analysis for Depts. (includes Analysis by Provider, Facility and Specialty) EPIC/IDX Charge Analyzer Budget Information for FYs (annual) MSRDP Monthly Credit Balance by Dept. Total Credit Balance on MSRDP Depts. MSRDP Month Year-to-Date Credit Balance by Dept. A/R Reports Volume Rate Report Fin Sum Report (Financial Summary) Executive Summary Report	FE	5	1				Most of the reports generated out of other source data such as (i.e. Data Warehouse/Decision Supports, GE/IDX and EPIC sources). Records kept "E" (electronically) on "W" drive for one month (W:\Finance\subdirectory – folders). Then records, especially Year End Reports, are archived to "Y" drive (server stored at Data Center). EPIC/IDX Charge Analyzer – Maintained on server, Data Warehouse 5. For all records other than year end, 5 years retention. Security: IT For Access to: W:\Finance\subdirectory – folders – granted by Linda Anderson, Bill Fox or Jordan Lin in MSRDP Finance. MSRDP Finance Admin.	
62.008		Month-end Journal Entries File			6					All the reports maintained "E" on O Drive or personal computer. MSRDP Finance Admin.	



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62.009		Monthly Financial Reports for Clinical Departments			5					Monthly financial reports for clinical departments – retain August file in office and all others sent to storage. All the reports maintained “E” on O Drive or personal computer. MSRDP Finance Admin.	
62.010		UT System Quarterly Reports			15					All the reports maintained “E” on O Drive or personal computer. UT System Quarterly Reports kept in office from 1994 to present. Corporation formed in 1994 and then closed and transferred to UTSW 9/1/04. MSRDP Finance Admin.	
62.011		Monthly MSRDP Credit Balance by Department (GE/IDX & EPIC) & Monthly Year-To-Date			5					Monthly financial reports for clinical departments – retain August file in office and all others sent to storage. All the reports maintained “E” on O Drive or personal computer in Excel format since beginning of Corporation. MSRDP Finance Admin.	
62.012		MSRDP Operational Monthly Financial Statements			1					Monthly financial reports for clinical departments – retain August file in office and all others sent to storage. All the reports maintained “E” on O Drive or personal computer in Excel format since beginning of Corporation. MSRDP Finance Admin.	



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62.013		Quarterly Finance Committee Report			15					All the reports maintained "E" on O Drive or personal computer in Excel format since beginning of Corporation. MSRDP Finance Admin.	
62.014		Malpractice Reports			15					All the reports maintained "E" on O Drive or personal computer in Excel format since beginning of Corporation. MSRDP Finance Admin.	
62.015		MSRDP Clearing Account Reconciliation, (#70591 & #70598)			8					All the reports maintained "E" on O Drive or personal computer in Excel format since beginning of Corporation. MSRDP Finance Admin.	
62.016		1099 Miscellaneous Reports Received from Insurance Companies			7					All the reports maintained "E" on O Drive or personal computer in Excel format since beginning of Corporation. MSRDP Finance Admin.	
62.017		AP forms/back up			7					All the reports maintained "E" on O Drive or personal computer in Excel format since beginning of Corporation. MSRDP Finance Admin.	
62.018		Health Information Management (HIM) Reqa M50123, M50124, M50182		FE	4					MSRDP Finance Admin.	





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62.019		Pager Backup		US						Note: Retain longer if needed for Administrative Value MSRDP Finance Admin.	
62.020		Patient Courts		AC	12			Close of litigation or settlement		MSRDP Finance Admin.	
63.001		Transplant Patient data  <b>Letters of Agreement (LOA's)</b>	EOBs, LOAs (Letters of Agreement), emails, Patient medical record information	AC	7			After file is closed		Note: Medicare Advantage contract requirements stipulate 10 years following the rendering of Covered Services (records for a minor child shall be kept for at least one (1) year after the minor has reached age eighteen (18), but in no event less than ten (10) years). MSRDP Business Operations Admin.	
63.001A		PEDIATRIC Letters of Agreement (LOA's)	Contracts between provider and patient or Managed Care Plan.	AC	10			Last Date of service was provided to patient.		NOTES: Records for minor child shall be kept for at least (1) year after the minor has reached age 18, but in no event less than 10 years.	
63.001B		MEDICARE: Letters of Agreement (LOA's)	Contracts between provider and patient or Managed Care Plan.	AC	10			Last Date of service was provided to patient.		Medicare Advantage per Centers for Medicare & Medicaid Services (CMS) requirements.	



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63.001C		OTHER: Letters of Agreement (LOA's)	Contracts between provider and patient or Managed Care Plan, <b><u>NOT</u></b> associated with Pediatric Patients or Medicare Advantage.	AC				Last date or service was provided to patient, Plus 4 or 7 years.  Contracts executed on or before August 31, 2015 AC+4 Contracts executed on or after September 1, 2015 AC+7			
63.002		International Patient data		PM						E Documentation of Medical Records for International Patients is stored Electronically on the University S: Drive. MSRDP Business Operations Admin.	
63.003		Managed Care Contracts with payers		AC	7	6		Last date Provider Services were provided to Member, or the period required by applicable law.		MSRDP Business Operations Admin.	
63.004		Individual Agreements	Agreements with managed care payers that we do not have a contract with in addition to entities such as CHIP plan, out-of-area, Medicaid, charities, embassies, prison systems, etc.		7	6				MSRDP Business Operations Admin.	



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63.005		Provider Enrollment Applications	Physician Applications	AC	7			Application Enrollment Date.		Terminated files are sent to storage. Note: Government Documents – Filed with government (duplicate) Destroy after 7 years Current files are kept within the department until they are terminated. MSRDP Business Operations Admin.	
64.001		WILLED BODY Donor Records SAB Form (Texas State Anatomical Board) Paperwork	First Call Sheet Copy of Death Certificate Report of Death by Funeral Director Donation Paperwork: completed by next of kin. Medical Questionnaire completed by next of kin. Cremation Records and information on what was done with ashes.	PM						Willed Body	
65.000		Licensure Records Texas State Board of Pharmacy License.	This series documents the professional and regulatory issuance of credentials to facilities providing pharmaceutical services at the university. This series may include, but is not limited to: license applications; Texas State Board of Pharmacy License and inspection reports; Drug Enforcement Administration (license); Department of Public Safety (license; and related correspondence	US	2						See 22 TAC§283 for detailed licensing requirements for Pharmacists.



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65.001	1.1.069	Generated Daily Prescription Reports Hospital and Campus Retail Pharmacy	Inventory and other records of the purchase, Acquisition, expired, disposal, or dispensation of drugs as required by federal law and regulations, state law, and the rules of the Texas State Board of Pharmacy.  Campus Pharmacies:  Aston Building Clinical Oncology Pharmacy: Seay Biomedical Building Retail Pharmacies on UTSW Campus The Apothecary Shop Bass Admin and Clinical Center Walgreens POB1	AC	2			The later of the date that the record was required to be created, the record was actually created, or the prescription was last filled.		All inventory records and forms of disposed drugs shall be maintained for two years from the Date of transfer, disposal, or destruction and be available for inspection by an agent of the board, Texas Department of Public Safety, Drug Enforcement Administration, or any other agent authorized to inspect such records.  CAUTION: By federal regulation, inventories and records of all controlled substances must be maintained separately from all other records of the pharmacy. (See 65.003) (See 70.012 for retention of Medical Logs)	21 CFR 1304.04(a); Health and Safety Code, Section 481.067(c); 37 TAC 13.207. See 22 TAC§291for detailed destruction regulations.
65.002		Drug Recall Notices	Food and Drug Administration (FDA) and Manufacturer recalls on drugs. This records series may include but not be limited to, reportable occurrences of drug use, recalls through the manufacturer and responses by departments.	AC				Five years after the records of manufacture have been completed or six months after the latest expiration date for the individual product, whichever is later.		See 70.012 for retention of Medical Logs.	21 CFR 600.12, 21 CFR 7.49



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65.003		Controlled Substance Records	Consists of records that document the use and disposition of controlled substances. Including but not limited to: audits, inventories, and transfers between pharmacies, prescriptions, and dispositions of controlled substances, night medication sheets, and proof of use sheets.	AC	2			The later of the date that the record was required to be created, the record was actually created, or the prescription was last filled. Retention based on Federal and Texas drug laws.		See 70.012 for retention of Medical Logs.	Texas drug laws: 22 TAC Part 15 291.75; Texas Medical Board Rules 169.7; 21 CFR Ch. 111304.04; 37 TAC Part 1 13.207
65.004		MEDICARE Part D: Prescription Dispensation Records /Outpatient	This series is used to provide an individual, daily summary, and annual summary record of initial drug dispensation and refills administered by the Department as required by the Texas State Pharmacy Board. This series may include but is not limited to: furlough and discharge prescriptions; in-house computer-generated TX registers; controlled substance reports; and data base purge reports.	AC	2			Termination Date of the Provider Agreement, final Date of any Part D Plan Sponsor's contract with Caremark (CMS) to offer a Medicare Part D Plan, or after the Date of completion of any CMS audit of a Part D Plan Sponsor, whichever is later. Retention is based on Medicare part D prescription insurance plans.		See 70.012 for retention of Medical Logs	22 TAC§291.75 for detailed retention regulations.



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65.005		MEDICARE Part D: Prescription Dispensation Records /Patient	This series is used to provide an individual, daily summary, and annual summary record of initial drug dispensation and refills administered by the Department as required by the Texas State Pharmacy Board. This series may include but is not limited to: prescription slips; in-house computer-generated TX registers; controlled substance reports; and data base purge reports.	AC	2			Termination Date of the Provider Agreement, final Date of any Part D Plan Sponsor's contract with Caremark (CMS) to offer a Medicare Part D Plan, or after the Date of completion of any CMS audit of a Part D Plan Sponsor, whichever is later. Retention is based on Medicare part D prescription insurance plans.		See 70.012 for retention of Medical Logs	22 TAC§291.75 for detailed retention regulations.
65.006		Chemotherapy Medication Profiles	Profiles for chemotherapy patients. These profiles tell what drugs are given, the amount of each drug given, the date and time given and who administered the drugs.		5					See 70.0009 for retention of Radiation Oncology Records.	
<b>PATIENT DENTAL RECORDS ADULT &amp; CHILD</b>											
70.003		Dental Adults		AC	5			Date of last Date of service of adult patient.		Retention Note: Because of the use of these records for identification purposes, the Texas Department of Public Safety recommends dental records be maintained a minimum of 10 years. Doctor or Clinic	22 TAC 108.8(b)



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					Years	Months	Days				
70.004		Dental Children		AC				Patient's 20th birthday or the sixth anniversary of the patient's last Date of service, whichever occurs later.		Retention Note: Because of the use of these records for identification purposes, the Texas Department of Public Safety recommends dental records be maintained a minimum of 10 years. Doctor or Clinic	22 TAC 108.8(b)
<b>ADULT MEDICAL AND PSYCHIATRIC RECORDS</b>											
70.005A		Medical Adult	Including and not limited to: patient identification data; medical history; reports of relevant physical examinations; diagnostic and therapeutic orders; documentation of appropriate informed consent; clinical observations, including the results of therapy; reports of procedures, tests, and their results, including laboratory, pathology, radiology reports; and conclusions at termination of hospitalization or evaluation/treatment. Includes treatment records for emergency room and voice logs of doctor/patient phone calls.	AC	10			Date of last visit		Clinic	22 TAC 165.1(b)



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70.005B		Medical Adult	Including and not limited to: patient identification data; medical history; reports of relevant physical examinations; diagnostic and therapeutic orders; documentation of appropriate informed consent; clinical observations, including the results of therapy; reports of procedures, tests, and their results, including laboratory, pathology, radiology reports; and conclusions at termination of hospitalization or evaluation/treatment. Includes treatment records for emergency room.	AC	21			Date of last visit/appointment		Hospital	22 TAC 165.1(b)
70.005C		Adult Mental Health Records	Adult Mental Health Records - Psychiatry - Psychotherapy - Progress Notes - Assessment - Diagnostic information  Treatment Information provided by mental health professionals which may include: - Psychiatrist - Psychologist - LCSW (Social Worker) - LMFT (Marriage/Family Therapy) - Professional Counseling - Psychology - Behavioral Health	AC	10			Date of last visit		Psychiatry Clinic	





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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
70.005D		Adult Mental Health Records,	Psychological Test Data and Protocols	AC	7			Date of last Psychological test administration.		Psychiatry Clinic	See Texas Administrative Code RULE §465.22 Psychological Records, Test Data and Test Protocols for further clarification of "Psychological Cognitive test data.



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					Years	Months	Days				
<b>PATIENT MEDICAL RECORDS</b>											
<b>RADIATION ONCOLOGY, OB/GYN, ELECTRONIC RECORDS, MEDICAL LOGS, RELEASE OF INFORMATION</b>											
70.009		Radiation Oncology Records		PM						Clinic	
70.010		OB/GYN Records		AC	21			7 years past the last Date of service or until the infant's 21st birthday, which ever occurs later.		Clinic or Hospital	
70.011		Electronic Medical Records – Adult & Children	The Electronic Medical Record is defined as the systems that comprise the Epic EMR system and the PACS Imaging System as well as the CDR System.	PM						CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records. IR	
70.012		Medical Logs	Medical logs in this record series may include, but are not limited to: Patient Check In, Admission, Transport, Dispatch, Census, Discharge, Patient Photo, Patient Service, Expired Drug Disposal, Crash Cart, First Aid Cart, Medicine, Surgical Instrument Sterilization Records, and Refrigerator.		3					All logs are maintained in the originating clinical or hospital departments.	
70.012A		Tumor Registry Files		AC				50 years or until patient's death, if known, whichever is sooner.		Retention Note: Review before disposal. Some records of this type may merit PERMANENT retention for future medical research.	
70.012B		Room Logs	Room Logs in this record series may include, but are not limited to: Delivery Room, Emergency Room, Surgery and Trauma.		5						



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					Years	Months	Days				
70.012C		Blood Bank and Transfusion Records	Documentation of all significant steps in the collection, processing, compatibility testing, storage and distribution of each unit of blood and blood components	AC				10 years after the records of processing have been completed or 6 months after the latest expiration date for the individual product, whichever is later.		Retention Note: When there is no expiration date, records must be retained PERMANENTLY.	21 CFR 606.160(d).
70.012D		Medical Waste Management Logs	Waste shipment records maintained by the generator or medical waste such as waste shipping control tickets, tracking forms, exception reports, shipment logs, and receipts from the transporter documenting the weight of waste collected and Date of collection.		3					Hospital & Clinic	31 TAC 330.1207(b)(3).
70.013		Adult Mental Health Provider Authorization for Release of Psychiatric Medical Records	Series includes Psychiatry Release of Information Workflow Sheets, Psychiatry Release of Information Cover Sheet; service memos, referrals, benefits information, psychological reviews, psychiatric reviews, mental health assessments, medication logs, progress Notes, care plans, reviews, service payments, case correspondence and related records.	FE	6					HIPAA regulations require forms be kept for current fiscal year plus six years. However, this record series may be kept in the patient record and discarded when that Record is discarded.  Records are retained in the Department of Psychiatry.	
70.013A		Patient Authorization for Release of Health Records		US						Record series may be kept in the patient record and discarded when that record is discarded.	
70.013B		Patient Authorization for Release of Mental Health Records		US						Record series may be kept in the patient record and discarded when that record is discarded.	



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					Years	Months	Days				
70.014		Disclosure of Protected Health Information (PHI).	This record series documents disclosure of PHI (PHI) in accordance with HIPPA compliance regulations. May include and not limited to the following: disclosures of PHI, service memos, referrals, benefits information, medication logs, progress Notes, care plans, reviews, and service payments, case correspondence and related records.	FE	6					HIPAA regulations require forms should be kept for current fiscal year plus six years. However, this record series may be kept in the patient record and discarded when that record is discarded.	



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					Years	Months	Days				
<b>MINOR/CHILD PATIENT MEDICAL &amp; PSYCHIATRIC RECORDS</b>											
71.006A		Medical Children	Including and not limited to: patient identification data; medical history; reports of relevant physical examinations; diagnostic and therapeutic orders; documentation of appropriate informed consent; clinical observations, including the results of therapy; reports of procedures, tests, and their results, including laboratory, pathology, radiology reports; and conclusions at termination of hospitalization or evaluation/treatment. Includes treatment records for emergency room.	AC				Date patient reaches 18 plus 3 years or Date of last visit plus 10 years, whichever is longer.		Clinic	
71.006B		Medical Children	Including and not limited to: patient identification data; medical history; reports of relevant physical examinations; diagnostic and therapeutic orders; documentation of appropriate informed consent; clinical observations, including the results of therapy; reports of procedures, tests, and their results, including laboratory, pathology, radiology reports; and conclusions at termination of hospitalization or evaluation/treatment. Includes treatment records for emergency room.	AC	21			Age of Minor on Date of visit or Date of Birth.		Hospital	



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					Years	Months	Days				
71.006C		Child Mental Health Records	Child Mental Health Records - Psychiatry - Psychotherapy - Progress Notes - Psychological Cognitive test data - Assessment - Diagnostic information  Treatment Information provided by mental health professionals which may include: - Psychiatrist - Psychologist - LCSW (Social Worker) - LMFT (Marriage/Family Therapy) - Professional Counseling - Psychology - Behavioral Health	AC				Date child reaches 18 plus 5 years, or Date of last visit plus 10 years, whichever is longer	Psychiatry Clinic	See Texas Administrative Code RULE §465.22 Psychological Records, Test Data and Test Protocols for further clarification of "Psychological Cognitive test data.	



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					Years	Months	Days				
70.007		Medical Source Data: Adult and Child	Series includes health information stored in any original media. Examples of Source Data include, but are 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), The patient medical record must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the patient record.	AC	10			Date of Visit for Adults  Date of patient's last visit; if 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 10th anniversary of the date on which the patient was last treated, whichever is later.		Clinic or Hospital	



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					Years	Months	Days				
<b>STUDENT RECORDS &amp; MEDICAL RESIDENT RECORDS</b>											
<b>NON-MATRICULATING STUDENTS</b>											
80.300A		Advanced Placement Records		AC	3			Graduation or date of last attendance.		Registrar	
80.300B		Acceptance Letters		AC	3			Graduation or date of last attendance.		Registrar	
80.301A		Admission applications		AC	3			Graduation or date of last attendance.		Registrar	
80.301B		Applicants – not admitted and other related items		AC	1			Application year		Registrar	
80.302		Relevant Student Correspondence		AC	3			Graduation or date of last attendance.		Registrar	
80.303		Entrance Examination Reports		AC	3			Graduation or date of last attendance.		Registrar	
80.304		Letters of recommendation		AC	3			Graduation or date of last attendance.		Registrar	
80.305		Medical Records		AC	3			Graduation or date of last attendance.		Registrar	
80.306		Placement Scores		AC	3			Graduation or date of last attendance.		Registrar	
80.307		Readmission Scores		AC	3			Graduation or date of last attendance.		Registrar	
80.308		Recruitment Materials		AC	3			Graduation or date of last attendance.		Registrar	
80.309		Test Scores		AC	3			Graduation or date of last attendance.		Registrar	
80.310		Transcripts from other colleges		AC	3			Graduation or date of last attendance.		Registrar	
80.311		High School Transcripts		AC	3			Graduation or date of last attendance.		Registrar	
<b>STUDENT RECORDS &amp; MEDICAL RESIDENT RECORDS</b>											
<b>MATRICULATING STUDENTS AND UTSW CONTINUING EDUCATION</b>											
81.312		Admission Acceptance Letters		AC	5			Last attend date		Registrar	





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					Years	Months	Days				
81.313		Advanced Placement Records		AC	5			Last attend date		Registrar	
81.314		Readmission Applications		AC	5			Last attend date		Registrar	
81.315		Relevant Student Correspondence		AC	5			Application date		Registrar	
81.316		Entrance Examination Reports		AC	10			Last attend date		Registrar	
81.317		Letters of recommendation		AC	3			Until admitted		Registrar	
81.318		Medical Records	Immunizations Pre-Admission Testing Non-Illness	AC				Date patient reaches 18 plus 5 years or Date of last visit plus 10 years, which ever is longer.		Registrar	
81.318A		Medical Records - Adult	Student Illness Not including Child Student Mental Health Records	AC	10			Last attend date		Registrar	Refer to 81.318C for retention of Adult Student Mental Health Records
81.318B		Medical Records - Child	Student Illness Not including Child Student Mental Health Records	AC				Date patient reaches 18 plus 5 years or Date of last visit plus 10 years, whichever is longer.		Registrar	Refer to 81.318E for retention of Child Student Mental Health Records.



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					Years	Months	Days				
81.318C		Adult Student Mental Health Records	Adult Student Mental Health Records - Psychiatry - Psychotherapy - Progress Notes - Assessment - Diagnostic information  Treatment Information provided by mental health professionals which may include: - Psychiatrist - Psychologist - LCSW (Social Worker) - LMFT (Marriage/Family Therapy) - Professional Counseling - Psychology - Behavioral Health	AC	10			Date of last visit		Department of Psychiatry	
81.318D		Adult Student Mental Health Records	Psychological Test Data and Protocols	AC	7			Date of last Psychological test administration.		Department of Psychiatry	See Texas Administrative Code RULE §465.22 Psychological Records, Test Data and Test Protocols for further clarification of "Psychological Cognitive test data.



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					Years	Months	Days				
81.318E		Child Student Mental Health Records	Psychiatry - Psychotherapy - Progress Notes - Psychological Cognitive test data - Assessment - Diagnostic information  Treatment Information provided by mental health professionals which may include: - Psychiatrist - Psychologist - LCSW (Social Worker) - LMFT (Marriage/Family Therapy) - Professional Counseling - Psychology - Behavioral Health	AC				Date patient reaches 18 plus 5 years or Date of last visit plus 10 years, whichever is longer.		Department of Psychiatry	See Texas Administrative Code RULE §465.22 Psychological Records, Test Data and Test Protocols for further clarification of "Psychological Cognitive test data.
81.319		Placement Scores		AC	5			Last attend date		Registrar	
81.320		Recruitment Materials		AC	3			Graduation or date of last attendance		Registrar	
81.322		Student waivers for rights of access		AC				Life of the record to which access waiver documentation applies		Registrar	
81.323		Test Scores		AC	5			Last attend date		Registrar	
81.324		Transcripts from other colleges		AC	5			Last attend date		Registrar	
81.325		High School Transcripts		AC	5			Last attend date		Registrar	
81.326		Academic Action Authorizations (dismissal)		AC	5			Last attend date		Registrar	
81.327		Academic Records	Including narrative evaluations, clinical evaluations, grades, transcript cards.	PM						Registrar	
81.328		Advanced Placement Records		AC	5			Last attend date		Registrar	
81.329		Applications for Graduation		AC	5			Last attend date		Registrar	



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					Years	Months	Days				
81.330		Admissions Records - Enrolled/Accepted	This series documents the application process for individuals seeking admission to the institution. Records may include but are not limited to: acceptance letters, applications for admission, entrance exam reports, letters of recommendation, medical records, readmission forms, recruitment materials, test scores, residency classification forms, transcripts from other colleges, transcripts from high school, and related correspondence. International student admissions records are included in this series.	AC	3			Graduation or date of last attendance.		CAUTION: International student academic records must be retained at least 1 year after final notice to Immigration and Naturalization Service. Refer to 91.021 and 91.022 for additional retention requirements for international student records. Registrar	
81.331		Audit Authorizations		AC	3			Graduation or date of last attendance.		Registrar	
81.332		Add/Drop Forms		AC	1			End of Term		Registrar	
81.333		Change of Grade Forms		PM						Registrar	
81.334		Original Grade Sheets		PM						Registrar	
81.335		Student Schedules		AC	1			Last attend date		Registrar	
81.337		Credit by Examination Forms		AC	5			Last attend date		Registrar	
81.338		Credit/No Credit Approvals		AC	1			End of Term		Registrar	
81.339		Curriculum Change Authorizations		AC	5			Last attend date		Registrar	
81.340		Degree Audit Requirements		AC	5			Last attend date		Registrar	
81.341		(UT) Disciplinary Action Documents Unless permanent dismissal		AC	5			Last attend date		See 80.326 Academic Dismissal	
81.342		Fee Assessment Forms		AC	5			Last attend date		Registrar	
81.344		Financial Aid Documents		AC	5			Last DE Audit Date		Registrar	
81.345		Foreign Student Forms		AC	5			Last attend date		Registrar	
81.346		Grade Reports (Registrar Copy)		AC	1			End of Term		Registrar	



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81.347		Graduation Lists		PM						Registrar	
81.348		Graduation Authorizations		AC	5			Last attend date		Registrar	
81.349		Hold or Encumbrance Authorizations		AC				Until released		Registrar	
81.351		Name Change Authorizations		AC	5			Last attend date		Registrar	
81.352		Pass/Fail requests		AC	1			End of Term		Registrar	
81.353		Personal Data Information Forms		AC	1			End of Term		Registrar	
81.354		Registration Forms		AC	1			End of Term		Registrar	
81.355		Transcript Requests		AC	1			End of Term		Registrar	
81.356		Transfer Credit Evaluations		AC	5			Last attend date		Registrar	
81.357		Tuition & Fee Charges		AC	5			Last attend date		Registrar	
81.358		Withdrawal Authorizations		AC	5			Last attend date		Registrar	
81.359		Enrollment Verifications		AC	1			End of Term		Registrar	
81.360		Financial Aid Assistance Records		AC	3			Last attend date		Registrar	
81.361A		Social Security Certifications		AC	1			End of Term		Registrar	
81.361B		Teacher Certifications		AC	1			Last attend date		Registrar	
81.362A		Veterans Affairs Certification Records	This series documents institutional submission of Certification of Enrollment reports required by the U.S. Department of Veterans Affairs.	AC	3			Date of last period certified		Refer to 81.362C for Hazlewood Act documentation and 81.362B for all other records pertaining to the entitlement status and enrollment of veterans in the institution. Registrar	US Department of Veterans Affairs School Certifying Official Handbook; 38 CFR 21.4209(F)



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					Years	Months	Days				
81.362B		Veterans Records	This series documents the entitlement status and enrollment of veterans in the institution. Records include but are not limited to: individual veteran student records that certify to the U.S. Department of Veterans Affairs that the student is eligible for educational benefits, i currently enrolled at the institution in a qualifying curriculum, and is maintaining standards required to receive entitlements; veterans attendance reports; and related forms, documentation and correspondence.	AC	3			Graduation or date of last attendance		Refer to 81.362C for Hazlewood Act documentation and 81.362A for all other records pertaining to Veterans Affairs Certification Records. Registrar	38 CFR 21.4209
81.362C		Hazlewood Act Documentation	This series documents eligibility to claim the Hazlewood exemption and institutional records to track benefit hours claimed	PM						Refer to 81.362A for Veterans Affairs Certification Records and 81.362B for all other records pertaining to the entitlement status and enrollment of veterans in the institution.	19 TAC 21.85 for loans made before Fall 1971. 19 TAC 21.54 for loans made after Fall 1971.
81.362D		Hazlewood Act Documentation - Non-awarded applicants	This series documents eligibility to claim the Hazlewood exemption and institutional records to track benefit hours claimed.	AC	2			Date loan denied		Refer to 81.362A for Veterans Affairs Certification Records and 81.362B for all other records pertaining to the entitlement status and enrollment of veterans in the institution.	Texas Education Code 54.241 (Hazlewood Act), 19 TAC 21.85
81.363		Institutional Catalogs (1 copy)		PM					I	Registrar	
81.364		Commencement Programs		PM					I	Registrar	
81.365		Degree Statistics		PM						Registrar	



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81.366		Enrollment Statistics		PM						Registrar	
81.367		Grade Statistics		PM						Registrar	
81.368		Racial/Ethnic Statistics		PM						Registrar	
81.369		Term schedule of Classes		PM						Registrar	
81.370		Requests for Formal Hearings		AC				Life of Affected Records		Registrar	
81.371A		Requests and Disclosures of personally identifiable information		AC				Life of Affected Records		Registrar	
81.371B		Requests for non-disclosure of directory information		AC				Until termination of non-disclosure request, per 34 CFR 99.37(b)		Registrar	
81.372		Statements on Record	Content regarding hearing panel decisions	AC				Life of Affected Records		Registrar	
81.373		Written consent for disclosure of records regarding hearing panel decisions		AC				Life of Affected Records		Registrar	
81.374		Waivers for Rights of Access		AC				Life of Affected Records		Registrar	
81.375		Written Decisions of Hearing Panels		AC				Life of Affected Records		Registrar	
81.376		Examinations		AC	5			After close of course		Registrar	
81.377		Health Insurance			5					Registrar	
81.378		Notification of Award			5					Registrar	
81.379		Report of Activity			5					Registrar	
81.380		Verification of Expenditures			5					Registrar	
81.390		Rosters and Schedules of Medical Residents			2					Registrar	
81.391		Request for Tuition Assistance		AC	3			Graduation or Date of Last Attendance		Registrar	
81.392		Resident Alumni Files		AV						AV = Administrative Value Registrar	



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81.393	1.1	Continuing Education Course Files	Medical Students, Residents or Providers. Courses that help those in the medical field maintain competence and learn about new and developing areas of their fields. Files documenting course training sessions, including; but not limited to: course outlines, reference materials and correspondence, feedback and any other files related to the course.		6					Accreditation Council for Continuing Education Standard 98-B-08 Continuing Education (CE)	
81.393A	1.1	Continuing Education Course Files Other than Medical, Dental or Nursing.	Files documenting course training sessions. Including, but not limited to the following: course outlines, reference materials and correspondence, feedback, and any other files related to the course.		5					Record Series includes Clinical Safety and Effectiveness course documentation	
81.394	1.1	Continuing Education Participant Files	Includes registration, class rosters, class evaluations, schedules/agendas, sign-in sheets and other records that document the participation of training or workshop.		6					ACCME's Standard 98-B-08 Continuing Education (CE)	
81.394A	1.1	Continuing Education Participant Files Other than Medical, Dental or Nursing.	Includes registration, class rosters, class evaluations, schedules/agendas, sign-in sheets and other records that document the participation of training or workshop.		5					Record Series includes Clinical Safety and Effectiveness course documentation	





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81.395		Thesis and Dissertation Records	This series documents the completion and academic acceptance of graduate theses and dissertations presented to colleges in fulfillment of requirements for graduate degrees. This series includes final and accepted copies of theses and dissertations	PM					I	American Association of Collegiate Registrars and Admissions Officers guidelines suggest a retention period of PM. The Registrar's Office retains the original copies of Copyright Disclaimers, Listings of Schools, Reports on Final Oral Examination, Recommendations for Approval of Dissertation/Thesis Research Proposal and Supervising Committee, Notifications of Admission to Candidacy and Petitions for Admission to Candidacy. Copies of theses and dissertations are retained by departments and the library. ARCHIVES NOTE: Official copy is offered to archives, special collections or library.	
81.369		Postdoctoral Training Records			10					Departments should keep track of postdoctoral training students as Registrar only records grades and attendance for registered UTSW students. Records may be filed in personnel file for Residents/Fellows and kept longer than 10 years for certification purposes.	



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81.397	3.3.030	Training Administration Records	Instructional videos of surgical procedures and associated with in-house training of UT Southwestern Health Care Professionals	US	2					See 33.030 for training administration records including attendance.  CAUTION: Does not include hazardous materials training records. SEE Item Number 54.007A for more information.	



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<b>STUDENT RECORDS &amp; MEDICAL RESIDENT RECORDS</b>											
82.000		Medical Resident Records		PM						Resident's demographic information, transcripts, licenses, DEA, DPS, evaluations, self-assessments, scores on in-service examinations, specialty training completion certificates. Resident Program Directors	



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82.001		Graduate Medical Education Accreditation Council for Graduate Medical Education (ACGME) Training Certifications	Documentation for review by resident and verification of competency. Records contain, but are not limited to: <ul style="list-style-type: none"> <li>• Biographical information, including Degree and Medical School Specifics</li> <li>• Program Name and ACGME Number, Specialty, Institution, Start and End Dates</li> <li>• Photo ID, Official Medical School Transcript, Diploma Copy</li> <li>• Case Logs</li> <li>• All Certificates of Special Training</li> <li>• Summative resident evaluation</li> <li>• Records of corrective/disciplinary actions</li> </ul>	PM						P & E Records: CAUTION: The ACGME does not have recommendations for document retention. Based on advice of legal expert's, the ACGME retain verification documentation for seven (7) years after the resident graduated. Institutions may defer to their own retention standards. SEE: August 2008 ACGME e-Bulletin and UT Southwestern Graduate Medical Education Policies and Procedures on GMEC Endorsements for clarification of file content and retention. NOTES: UTSW adopted retention rule to include non-ACGME programs. Records are retained in the Office of the Associate Dean for Graduate Medical Education.	



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82.002		Faculty Accreditation Records Southern Association of Colleges & Schools Commission on Colleges (SACSCOC).	Records contained in this record series document the process and status of becoming accredited and/or activities associated with the reaffirmation of accreditation and required follow-up reports to document adherence to criteria. May include self-study report by University, report by external accrediting team, review schedule, correspondence and supporting documents regarding accreditation.	US	5					Deans handle Accreditation for their school. Departments keep records for courses and materials they have developed that have been accredited by various associations.	
82.100		Credentialing and Privileging Records for Medical Staff.	Includes Credential files; Records, discussions, and deliberations relating to credentialing and peer quality review and improvement activities; Quality assurance files specific to medical staff members; Committee, department, and general staff meeting minutes related to Credentialing and Privileging only; Other documents pertinent to the medical staff organization including records that may be needed to defend the hospital against legal action; Privileging files that outline privileges granted and any issues with reduced privileges (includes physicians and other licensed practitioners as PA's, NP's, and Psychology PhD's, Podiatrists, and Dentists.)	AC	75			TERMINATION OF EMPLOYMENT.			



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82.200		Psychiatry Academic Records	Individual record of each graduate student, fellow and external trainee (POI), which may contain and is not limited to participation and completion records, photos, evaluations, application materials, dissertations, CV's, certificates of completion, and post completion follow-up contacts	AC	8			APAC review date  The American Psychological Association Committee on Accreditation requires these documents to be retained between site visits. Site visits occur every 8 years.		See 31.004 for Employee File retention guidelines.	
82.201		Graduate Medical Education Psychiatry Academic Course Materials	Series includes and is not limited to syllabus, readings; lecture Notes/power point presentations, course evaluations, exams and grades. Accreditation materials including pre and post site visit documentation, correspondence and reports.	AC	8			APAC review date  The American Psychological Association Committee on Accreditation requires these documents to be retained between site visits. Site visits occur every 8 years.		See 82.001 for Graduate Medical Education ACGME Training verifications and documentation	



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82.202	1.1	Accreditation Records & Affiliation Agreements– Working Papers and Supporting Documentation  Physician Credentialing Parkland/CUH	Including but not limited to records that document the accreditation process for the University, School, Units and related programs. Reports, suggestions and recommendations concerning organizational structure and administration received from study committees of accrediting associations. Information on mission, finance, educational programs, departments/divisions; faculty CV's and licensure records; working papers; correspondence; and other related records.	AC	7			Termination of Agreement.	O	Accreditation records have individual guidelines for retention, records must be retained in accordance with individual guidelines of the accreditation. Departments/Divisions should check with their accrediting agency to determine retention requirements for accreditation.	
<b>FAMILY EDUCATIONAL RIGHTS AND PRIVACY ACT (FERPA) RECORDS</b>											
83.001		Access Policies	Written policies and procedures demonstrating how a district meets the requirements of the Family Educational Rights and Privacy Act of 1974, as amended, and federal rules adopted under the act	US						Registrar	
83.002		Access to Information	Record of each request for access to and each disclosure of personally identifiable information from the educational records of a student.	AC				As long as disclosed record is maintained, per 34 CFR 99.32(a)(2).		Registrar	
83.002A		Access to Information	Documentation of requests from and disclosures to the student, to an official of the district for what the district has determined are legitimate educational interests, to a party with written consent from the student, or to a party seeking directory information.	AC				As long as disclosed record is maintained, per 34 CFR 99.32(a)(2).		Registrar	34 CFR 99.32(a)(2)



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83.002B		Access to Information	Documentation of requests from and disclosures to any party not included in (83.002A).	PM						Registrar	34 CFR 99.32 (a)(2).
83.002C		Access to Information	Written refusals from the student to the disclosure of directory information. (1) If requests are valid as long as the student is enrolled. (2) If requests must be renewed each academic year or each academic term.	AC				As long as disclosed record is maintained, per 34 CFR 99.37(B)			34 CFR 99.37(B)
83.003		Access Waiver Records	Waivers of access by students to confidential letters and confidential statements of recommendation and revocations of such waivers.	AC				Life of the record to which access waiver documentation applies.			
83.004		Protest of Record Statements	Statements by students commenting on contested information in a student record, or stating why he or she disagrees with a district's decision not to amend a record, or both.	AC				Life of the record to which access waiver documentation applies.			34 CFR 99.21(c)(1).
83.005		Record Amendment Requests and Related Documentation	Requests from students to amend student records, notices by a district of denial or consent to amendments, requests for hearings on denied requests, hearing notices, and written decisions by hearing examiners.		2					Registrar	
83.006		Student Academic Advising Records	Senior Faculty Advisor Checklist from semi-annual meeting with Junior Faculty Advisee.	AC	5			Last semester attended.			
83.007		Departmental Student Records - Undergraduate and Graduate Student	Includes departmental/program application materials including, but not limited to: letters of recommendation, videotaped certification sessions for students who matriculate, advising, and student tracking and status records.	AC	5			After graduation or last day of attendance; does not include records retained by the Office of the Registrar.		Accrediting agencies may require longer retention periods for professional certification record. Refer to accrediting agency to determine the term of the certification period.	





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83.008		Student Certification Records – Academic –	Includes certificate programs offered by University academic programs	AC	5			Graduation or Date of last attendance, refer to 83.009 for student professional certification records.		Transcript Notes regarding academic certification awarded are maintained permanently by the Registrar.	
83.009		Student Professional Certification Records	May include: applications for admission to a program; registration for practicum hours and evidence of completion of the practicum; transcripts; narrative evaluations on practicum; notice of completion of hours required for certification; recommendations and evaluations; and related correspondence.	AC	1			End of certification period. This series documents the preparation of students earning degrees and/or certification for licenses or certificates to enter a profession and forms the basis of the initial certification by external entities for various processions.		Accrediting agencies may require longer retention periods for professional certification record. Refer to accrediting agency to determine the term of the certification period.	
83.010		Independent Study Records	This series documents departmental approval for students to enroll in independent study courses. Records may include but are not limited to: permission sheets with students' names; course names; number of credits; and faculty signatures	AC	2			Student separation from the department or institution.			
83.011		Internship Applications -- Not Enrolled/Denied	Applications for internship programs for which student was denied or did not enroll	AC	1			End of academic term in which internship occurred.		Refer to 83.012 for other Internship program records.	



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83.012		Internship Program Records	This series is used to provide a record of the administration of student internship, practicum and cooperative education programs. Programs may be within the institution or off campus and for class credit and/or pay. Records may include but are not limited to: applications for internships inside and external to the institution; agreements with departments; postings/notices; student resumes' transcripts; copies of contracts; proposed institution listings; notes; and related documentation and correspondence.	AC	5			End of academic term in which internship occurred.		Refer to 83.011 for internship applications for which student was denied or did not enroll.	
<b>MD/PHD PROGRAM</b>											
91.002	9.1.002	Admissions Records - Accepted	This series documents the application process for individuals seeking admission to the institution or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence	AC	5			Graduation or Date of last attendance.			



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91.003	91.003	Admissions Records - Denied	This series documents the application process for individuals that have been denied admission to the University or to participate in a specialized practice. Records may include but are not limited to: admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.	AC	1			After application term.			
91.009	91.009	Course Contents - Syllabi	This series may include but is not limited to: faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials	AC	7			After term is which the course is taught		Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).	
91.010	91.010	Course Evaluations	This records series consists of information/surveys done to evaluate the course and/or the instructor of tenure track faculty. May include correspondence, reports, etc.	AC	7			After term in which course is taught		Texas Education Code 51.974. Texas Education Code Section 51.942(c)(i).	
91.017	91.017	Grade Reports	This series documents grades received by students for the term. The series includes but is not limited to: course numbers and titles, grades awarded, grade point average, student name, and social security number	AC	1			Date distributed. Information may be exempt from public disclosure.			



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91.021	9.1.021	International Student Records - Accepted	This series documents institution assistance to international students who have been admitted to academic programs. These records primarily concern institution admissions, immigration issues, and other non-academic matters. Records may include but are not limited to: copies of visas, scholarship information, institution admissions forms, graduate school applications, transcripts of previous college work, grade reports from institutional courses, international student advisors' notes, degree completion certificates, explanations for student withdrawals, recommendations and evaluations of students, and related documentation and correspondence.	AC	7			Graduation or date of last attendance.		CAUTION: Must be retained at least 1 year after final notice to Immigration and Naturalization Service.	8 CFR 214.3(g), 22
91.022	9.1.022	International Student Records - Denied	This series documents institution assistance to international students who have failed to enroll in academic programs.	AC	2			After term.			
91.031	9.1.031	Program and Course Development Records	This records series documents the development approval, and the implementation of undergraduate, graduate, and professional degree programs and any other reorganizations or changes to established programs. Records may include but are not limited to: working papers, final reports, related course descriptions, outlines, sample examinations, textbook lists, etc.	6					O		



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91.036	9.1.036	Scholarships Awarded by Department - Selection Records	A record of recipients of departmentally-administered scholarship funds (not administered by University Financial Aid Office). May include application materials for students receiving the scholarships; forms rating the applicants; award notification letters, etc.	AC	6			After award.			