TEXAS STATE
LIBRARY
AND
ARCHIVES
COMMISSION

State and Local
Records Management

P.O. Box 12927
Austin, Texas
78711.2927

4400 Shoal Creek Blvd.
Austin, Texas
78756

www.tsl.texas.gov

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Director and Librarian
Mark Smith

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Edward Seidenberg

Preserving yesterday,
informing today,
inspiring tomorrow.

August 10, 2016

Ms. Teresa Johnston
Director of Business Services
UT at Dallas
800 West Campbell Rd
AD25
Richardson, TX 75080-3021

Re: Agency records retention schedule amendment approved for use

Dear Ms. Johnston:

Amendment 1 to your agency's 6th recertification of your records retention schedule is approved for use as of Wednesday, August 10, 2016. Your currently approved records retention schedule and all amendments are available on our website at https://www.tsl.texas.gov/slrm/state/schedules.html. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

We appreciate your efforts in maintaining an up-to-date schedule. Making additions and changes to your schedule as you identify them not only ensures the integrity of your recordkeeping practices, but keeps your agency in compliance with state regulations (13 TAC §6.4) requiring the submission of any needed amendments to a retention schedule during its certification period to keep the information in the schedule current.

We will notify you of the date your schedule is due for recertification. Any additional approved amendments to your schedule, such as this one, should be incorporated into your main retention schedule prior to submitting it for recertification.

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Emma Martin, at 512-463-5448 or emartin@tsl.texas.gov.

Sincerely,

Craig Kelso
Director and State Records Administrator

cc: State Auditor, State Archivist, Hodson Wildenthal

R01.738/738

Texas State Library and Archives Commission

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 738

Agency Name University of Texas at Dallas

(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 Teresa Johnston

Name *(Print or type)* Teresa Johnston

Date 7/27/2016

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office

(For the exclusive use of the State Auditor's Office)

Not Required at This Time

Signature

Name *(Print or type)*

Date

Texas State Library and Archives Commission

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

Signature Donna Osborne

Name *(Print or type)* Donna Osborne

Date 8/15/16

Cert/Recert No. 6 Amendment No. 1

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.

Texas State Library and Archives Commission

STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

2. Agency Code 738

3. Agency Name University of Texas at Dallas

4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period Agency	Storage	Total	8. Archival	9. Remarks	10. 106 No.	11. Current Schedule Page No.	Agency Item No.	12. Amend. Type C
4.7.010	148	**CAPITAL EXPENDITURES FUNDED WITH TAX-EXEMPT BOND PROCEEDS** **The Internal Revenue Service requires that invoice documentation supporting capital expenditures, including LERR, Faculty STARs and similar programs funded with proceeds of tax-exempt bonds, be maintained for a period ending three (3) years after the complete extinguishment of the bonds. Pursuant to the Texas Constitution, PUF bonds may be structured with a maximum maturity of 30 years.**	AC +35		AC +35		AC = issuance of debt In order to comply with the IRS requirement and UTS 181 Policy for Post Bond Issuance Federal Tax Compliance, U. T. institutions shall maintain invoice documentation for 35 years for any capital expenditures funded with tax-exempt proceeds.				

Retention Codes *(Field 7)*			Archival Codes *(Field 8)*	Amendment Codes *(Field 12)*
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	A – Transfer to State Archives	N – New
AV – Administrative Value	FE – Fiscal Year End	PM – Permanent	R – Review by State Archivist	C – Changed
	LA – Life of Asset	US – Until Superseded		D – Deleted

Texas State Library and Archives Commission

State and Local Records Management

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Edward Seidenberg

Preserving yesterday, informing today, inspiring tomorrow.

July 31, 2014

Ms. Teresa Johnston
Director of Business Services
UT at Dallas
800 West Campbell Rd
AD25
Richardson, TX 75080-3021

RE: Agency records retention schedule approved for use

Dear Ms. Johnston:

Your agency's records retention schedule is approved for use as of July 30, 2014. Your currently approved records retention schedule is available on our website at https://www.tsl.texas.gov/slrm/state/schedules.html. Please ensure 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. We urge on you the importance of disposing of the records of your agency in a timely manner in accordance with the retention periods on your schedule. 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 triennially thereafter. The deadline for submission of your schedule for its next recertification is the last working day of **July 2017.**

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, Angela Ossar, at 512-463-6623 or aossar@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,

Craig Kelso
Director and State Records Administrator

cc: State Auditor, State Archivist, David E Daniel

R01.738/738

Texas State Library and Archives Commission

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 738

Agency Name University of Texas at Dallas

(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 Teresa Johnston

Name (*Print or type*) Teresa Johnston

Date 9/26/2012

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office

(For the exclusive use of the 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 E Sidenberg

Name (*Print or type*)

Date 07-30-2014

Cert/Recert No. 6 Amendment No.

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.

THE UNIVERSITY OF TEXAS AT DALLAS

RECORDS RETENTION SCHEDULE

CAUTION

A state record may not be destroyed if any litigation, claim, negotiation, audit, open records request, administrative review, or other action involving the record is initiated before the expiration of a retention period for the record set by the commission or I the approved records retention schedule of the agency until the completion of the action and the resolution of all issues that arise from it, or until the expiration of the retention period, whichever is later.

Section 441.187(b), Government Code

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Texas State Library and Archives Commission

STATE OF TEXAS
Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

2. Agency Code **738**

3. Agency Name **University of Texas at Dallas**

4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. **TSLAC ONLY** Amend. No.
			Agency	Storage	Total				
1.1	**ADMINISTRATION RECORDS: GENERAL**								
1.1	**2**	**ACADEMIC AFFAIRS - TEACHING LOAD FILES**	**5**		**5**	**O**			
1.1	**3**	**ACADEMIC AFFAIRS FACULTY HANDBOOK**	**PM**		**PM**		**1 copy of original - PM**		
1.1	**4**	**AFFILIATION AGREEMENTS**	**AC+2**		**AC+2**		**AC = After agreement ends. Board office keeps for life of agreement**		
1.1	**5**	**DEEDS AND OTHER DOCUMENTS REFLECTING LEGAL TITLE**	**LA**		**LA**	**O**			
1.1	**5a**	**EASEMENT AGREEMENTS AND RELATED DOCUMENTATION**	**AC+5**		**AC+5**	**O**	**AC = After easement agreement ends.**		
1.1	**6**	**DEGREE PROPOSALS**	**PM**		**PM**				
1.1	**7**	**DEVELOPMENT OF UT DALLAS SYNERGY PARK**	**15**		**15**	**I**	**These files are the history of the land development at UTD**		
1.1	**8**	**EXCELLENCE IN EDUCATION TRUST LAND**	**15**		**15**	**I**	**These files are the history of the land development at UTD**		
1.1	**9**	**GIFT RECORDS**	**PM**		**PM**	**O**	**UTS Policy, security is open with restrictions**		
1.1	**10**	**OFF-CAMPUS COURSE INVENTORY**	**FE+3**		**FE+3**	**I**			

Retention Codes *(Field 7)*

AC – After Closed, Terminated, Completed, Expired, Settled
AV – Administrative Value
CE – Calendar Year End
FE – Fiscal Year End
LA – Life of Asset
MO – Months
PM – Permanent
US – Until Superseded

Archival Codes *(Field 8)*

I – Retain in University Archives
O– Review by University Archivist

Texas State Library and Archives Commission

STATE OF TEXAS
Records Retention Schedule

SLR 105

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2. Agency Code **738**

3. Agency Name **University of Texas at Dallas**

4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. **TSLAC ONLY** Amend. No.
			Agency	Storage	Total				
1.1	**11**	**PATENTS, TRADEMARKS, COPYRIGHTS AND DOCUMENTATION (E.G., RESEARCH RECORDS, REFLECTING USAGE AND THE LIKE) SEE REMARKS**	**AC+20**		**AC+20**	**O**	**AC = Term of agreement, trademark, or patent includes underlying patents, trademarks & copyrights. 3U.S.C./SEC.15**		
1.1	**12**	**PRESS CLIPPINGS**	**2**		**2**	**O**	**Review prior to transfer**		
1.1	**13**	**SPONSORED GRANTS AND CONTRACTS**	**AC+5**		**AC+5**		**AC = After closed by awarding agency kept in Office of Research & Sponsored Programs**		
1.1	**14**	**SURVEYS, REPORTS, QUESTIONNAIRES, MANDATED**	**AC+5**		**AC+5**		**AC = Date of report**		
1.1	**15**	**SURVEYS, REPORTS, QUESTIONNAIRES, VOLUNTARY**	**AC+1**		**AC+1**		**AC = Date of report**		
1.1	**16**	**TEXAS RESEARCH FOUNDATION GIFT LAND**	**15**		**15**	**I**	**These files are the history of the land development at UTD**		
1.1	**16a**	**ASSESSMENT FILES** **Data and reports from evaluations conducted to assess progress toward stated strategic and performance goals.**	**AC**		**AC**		**AC = End of accreditation cycle or specified evaluation period.**		

Retention Codes *(Field 7)*				Archival Codes *(Field 8)*
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	I – Retain in University Archives
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Texas State Library and Archives Commission

STATE OF TEXAS
Records Retention Schedule

SLR 105

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2. Agency Code **738**

3. Agency Name **University of Texas at Dallas**

4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. **TSLAC ONLY** Amend. No.
			Agency	Storage	Total				
1.1.002	**17**	**EXTERNAL AUDITS** **Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits conducted on the agency.**	**AC+7**		**AC+7**		**AC = Publication or release of final audit findings.** **The State Auditor's Office retains any copies of its audits performed on Texas state agencies**		
1.1.002	**18**	**INTERNAL AUDIT REPORTS**	**AC+14**		**AC+14**		**AC = Publication or release of final audit findings.**		
1.1.004	**19**	**BIENNIAL BUDGET REQUESTS**	**AC+6**		**AC+6**	**I**	**AC = Passage of appropriations.** **The archival requirement is met by sending the required copies of the requests to the University Archives and to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.**		
1.1.006	**19a**	**COMPLAINT RECORDS**	**AC+2**		**AC+2**		**AC = Final disposition of the complaint. Open unless clearly unwarranted invasion of personal privacy.** **CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048**		

Retention Codes *(Field 7)*				Archival Codes *(Field 8)*
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Texas State Library and Archives Commission

STATE OF TEXAS
Records Retention Schedule

2. Agency Code **738**

3. Agency Name **University of Texas at Dallas**

4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period Agency	Storage	Total	8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
1.1.007	**20**	**CORRESPONDENCE, ADMINISTRATIVE (INCOMING/OUTGOING LETTERS REGARDING POLICIES, PROCEDURES & OTHER MAJOR TRANSACTIONS)**	**4**		**4**	**O**	**CAUTION: This record series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series in this schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. Evaluate After 3 years**		
1.1.008	**21**	**CORRESPONDENCE, GENERAL (INCOMING/OUTGOING LETTERS, GENERAL INQUIRIES AND REQUESTS)**	**2**		**2**		**SEE comment on item number 1.1.007.**		
1.1.013	**21.001**	**CALENDARS, APPOINTMENT AND ITINERARY RECORDS**	**CE+1**		**CE+1**	**O**	**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**		
1.1.014	**21.002**	**LEGAL OPINIONS AND ADVICE** **From agency legal counsel or the Attorney General, including any requests eliciting the opinion.**	**AV**		**AV**	**O**	**CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. See item number 1.1.048.**		
1.1.019	**22**	**NEWS OR PRESS RELEASES**	**2**		**2**	**O**			

Retention Codes *(Field 7)*				Archival Codes *(Field 8)*
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Texas State Library and Archives Commission

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1.1.020	**23**	**PUBLIC INFORMATION REQUESTS – NOT EXEMPTED (FORMERLY OPEN RECORDS REQUESTS – APPROVED)**	**AC+1**		**AC+1**		**AC = Date request fulfilled Approved Includes all correspondence and documentation relating the requests for records that are furnished to the public under Public Information Act (chapter 552, Government Code)**		
1.1.021	**24**	**PUBLIC INFORMATION REQUESTS –EXEMPTED (FORMERLY OPEN RECORDS REQUESTS – DENIED)**	**AC+2**		**AC+2**		**AC = Date of notification that records are exempt or Date request denied.**		
1.1.023	**25**	**ORGANIZATION CHARTS - ORIGINAL**	**US**		**US**	**I**			
1.1.024	**26**	**PLANS AND PLANNING RECORDS**	**AC+3**		**AC+3**	**O**	**AC = Decision made to implement or not to implement result of planning process**		
1.1.027	**35**	**PROPOSED LEGISLATION** **Drafts of proposed legislation and related correspondence**	**AV**		**AV**				
1.1.038	**36**	**INTEGRATED POST SECONDARY EDUCATION DATA SYSTEM/HIGHER EDUCATION GENERAL INFORMATION SURVEY**	**AC+10**		**AC+10**	**I**	**AC – Final disposition of summary report. Office of Institutional Research & Planning uses for studies**		
1.1.038	**37**	**OFFICE OF CIVIL RIGHTS REPORTS OCR 12000 REPORT & OCR 13000 REPORT**	**AC+10**		**AC+10**	**O**	**AC – Final disposition of summary report. Office of Institutional Research & Planning uses for studies**		
1.1.038	**38**	**SOUTHERN ASSOCIATION OF COLLEGES AND SCHOOLS ACCREDITATION REPORTS**	**AC+10**		**AC+10**	**I**	**AC – Final disposition of summary report. Office of Institutional Research & Planning uses for studies**		

Retention Codes *(Field 7)*

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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. **TSLAC ONLY** Amend. No.
			Agency	Storage	Total				
1.1.040	**38a**	**SPEECHES, PAPERS AND PRESENTATIONS**	**AC**		**AC**	**O**	**AC = End of term in office or termination of service in state position.**		
1.1.043	**39**	**STUDENT COUNSELING INTERN TRAINING MANUALS**	**US+1**		**US+1**				
1.1.043	**40**	**TRAINING MANUALS**	**AC+1**		**AC+1**		**AC = Until superseded or discontinued**		
1.1.048	**42**	**LITIGATION FILES**	**AC+1**		**AC+1**	**O**	**AC = After suit is settled. All Statutes of limitation must be met before file is closed. Review before disposal. Cases that set legal precedent must be reviewed by University Archivist for historical reasons.**		
1.1.055	**42a**	**STRATEGIC PLANS** **Information resources and operational strategic plans prepared in accordance with § 2054.095, Government Code and § 2056.002, Government Code.**	**AC+6**		**AC+6**	**I**	**AC = September 1 of odd-numbered calendar years.** **ARCHIVES NOTE: The archival requirement is met by sending the required copies of the plans to the University Archives and to the Texas State Publications Depository Program, Texas State Library and Archives Commission.**		
1.1.056	**43**	**ADA DOCUMENTATION**	**3**		**3**		**28 CFR 35.105c.**		

Retention Codes *(Field 7)*				Archival Codes *(Field 8)*
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Texas State Library and Archives Commission

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3. Agency Name **University of Texas at Dallas**

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			Agency	Storage	Total				
1.1.057	**41**	**TRANSITORY INFORMATION** **Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within 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 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, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routing information used for communication, but not for the documentation, of a specific agency transaction.**	**AC**		**AC**		**AC = Purpose of record has been fulfilled.** **CAUTION: Use caution when assigning this records series item number to ensure they are not part of another record series listed in this schedule or are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its function.** **The disposal of transitory information need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010) but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).**		

Retention Codes *(Field 7)*				Archival Codes *(Field 8)*
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Texas State Library and Archives Commission

STATE OF TEXAS
Records Retention Schedule

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3. Agency Name **University of Texas at Dallas**

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			Agency	Storage	Total				
1.1.058	**44**	**MEETING AGENDA AND MINUTES** **Official Committees. Official agenda and minutes of state boards, committees, commissions and councils that conduct open meetings as required by Government Code, Chapter 551.**	**PM**		**PM**	**I**	**Examples: Board of Regents' Minutes, Minutes and Notes of Faculty Senate and Council Meetings.** **CAUTION: This record 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.**		
1.1.059	**44a**	**MEETINGS, CERTIFIED AGENDAS OR TAPE RECORDINGS OF CLOSED**	**AC+2**		**AC+2**		**AC = The date of the meeting or completion of pending action involving the meeting, whichever is later.**		
1.1.060	**44b**	**MEETINGS, AUDIO OR VIDEOTAPES OF OPEN**	**AC+90 DAYS**		**AC+90 DAYS**		**AC = 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 caution comments at item number 1.1.058.**		

Retention Codes *(Field 7)*				Archival Codes *(Field 8)*
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Texas State Library and Archives Commission

STATE OF TEXAS
Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

2. Agency Code **738**

3. Agency Name **University of Texas at Dallas**

4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. **TSLAC ONLY** Amend. No.
			Agency	Storage	Total				
1.1.061	**44c**	**MEETING - NOTES**	**AC+90 DAYS**		**AC+90 DAYS**		**AC = Approval of the formal minutes by the governing body. See caution comment at 1.1.058.**		
1.1.062	**44d**	**MEETINGS – SUPPORTING DOCUMENTATION** **Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.**	**2**		**2**	**I**	**See caution comment at 1.1.058.** **Includes UT System Dockets.**		
1.1.063	**45**	**MEETING MINUTES/NOTES – STAFF**	**1**		**1**		**Minutes and notes of internal staff meetings during which formal minutes are taken.**		
1.1.064	**45a**	**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 or strategic plan, and for performance measures used to manage the agency.**	**FE+3**		**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.**		

Retention Codes *(Field 7)*				Archival Codes *(Field 8)*
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1.1.066	**46**	**REPORTS – ANNUAL & BIENNIAL (NON-FISCAL)**	**AC+6**		**AC+6**	**I**	**AC = Sept 1 of odd numbered calendar years** **ARCHIVES NOTE: The archival requirement is met by sending the required copies of the plans to the University Archives and to the Texas State Publications Depository Program, Texas State Library and Archives Commission.**		
1.1.067	**47**	**COORDINATING BOARD ENROLLMENT REPORTS**	**PM**		**PM**	**O**	**Strategic Planning & Analysis**		
1.1.067	**48**	**SEMESTER AND ANNUAL REPORTS**	**5**		**5**	**O**			
1.1.068	**49**	**PERFORMANCE REPORTS TO THE LEGISLATURE (SEMI-ANNUAL & ANNUAL)**	**AC+6**		**AC+6**		**AC = Sept 1 of odd numbered calendar years**		
1.1.070	**28**	**RULES AND REGULATIONS - INTERNAL AUDIT MANUAL**	**AC+3**		**AC+3**	**O**	**AC = Completion or termination of program, rules, policies or procedures.**		
1.1.070	**30**	**BOARD OF REGENTS' RULES AND REGULATIONS**	**AC+3**		**AC+3**	**O**	**AC = Completion or termination of program, rules, policies or procedures.** **Board Office suggests President's Office keep all earlier amendments**		
1.1.070	**31**	**NUMBERED POLICY MEMORANDA**	**AC+3**		**AC+3**	**O**	**AC = Completion or termination of program, rules, policies or procedures. Policies & Procedures Manual - an internal publication.**		
1.1.070	**32**	**POLICE POLICIES AND PROCEDURES MANUAL**	**AC+3**		**AC+3**	**O**	**AC = Completion or termination of program, rules, policies or procedures.**		

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			Agency	Storage	Total				
1.1.070	**34**	**POLICIES AND PROCEDURES MANUALS - UTD**	**AC+3**		**AC+3**	**O**	**AC = Completion or termination of program, rules, policies or procedures.**		
1.1.070	**35**	**RULES AND REGULATIONS – PARKING/TRAFFIC**	**AC+3**		**AC+3**		**AC = Completion or termination of program, rules, policies or procedures.**		
1.1.070	**142b**	**INSTITUTIONAL COMPLIANCE PROGRAM MANUAL**	**AC+3**		**AC+3**		**AC = Completion or termination of program, rules, policies or procedures.**		
1.1.071	**49a**	**AGENCY RULES, POLICIES, AND PROCEDURES – WORKING FILES**	**AC+3**		**AC+3**	**O**	**AC = Completion or termination of program, rules, policies or procedures. See also item number 1.1.070.**		

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			Agency	Storage	Total				
1.2	**RECORDS MANAGEMENT**								
1.2.001	**49b**	**DESTRUCTION SIGN-OFFS.** **Agency level documents authorizing destruction of records under a certified retention schedule.**	**FE+3**		**FE+3**				
1.2.005	**50**	**RECORDS RETENTION SCHEDULE**	**US**		**US**				
1.2.006	**52a**	**RECORDS TRANSMITTAL FORMS** **Forms indicate records transferred to storage or a transfer of legal custody.**	**AC+2**		**AC+2**		**AC = Date of authorization for destruction, permanent transfer from storage, or transfer to University Archives.**		
1.2.008	**51**	**REQUEST FOR AUTHORITY TO DISPOSE OF STATE RECORDS (Texas State Library RMD Form 102)**	**FE+3**		**FE+3**				
1.2.010	**52**	**LOG OF RECORDS DESTROYED (INCLUDING APPROPRIATE APPROVALS AND DATE OF DESTRUCTION)**	**10**		**10**				
1.2.012	**52b**	**RECORDS INVENTORY WORKSHEETS**	**US**		**US**				
1.2.015	**52c**	**DISASTER RECOVERY SERVICE TRANSMITTALS (RMD 109)** **Also includes documentation for disaster recovery services provided by other entities.**	**FE+1**		**FE+1**				
1.3	**PUBLICATIONS**								

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			Agency	Storage	Total				
1.3.001	**710**	**CATALOGS - STUDENT RECORDS**	**PM**		**PM**	**I**	**One copy to be retained CAUTION: Copies must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code § 441.101-441.106).**		
1.3.002	**54**	**PUBLICATION FILES – STUDENT NEWSPAPER**	**AV**		**AV**	**O**			
1.3.002	**55**	**PUBLICATION FILES – UNIVERSITY ADVANCEMENT**	**AV**		**AV**	**O**			
2.1	**AUTOMATION RECORDS: AUTOMATED APPLICATIONS**								
2.1	**56.001**	**GATEWAY WEBSITE FILES**	**US**		**US**				
2.1	**56.002**	**INTERACTIVE WEB APPLICATION FILES**	**US**		**US**				
2.1.001	**56**	**AUTOMATED FILES - PROCESSING FILES**	**AC**		**AC**		**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.**		
2.1.002	**57**	**AUTOMATED FILES - MASTER FILES**	**AC**		**AC**		**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.**		

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			Agency	Storage	Total				
2.1.007	**58**	**SOFTWARE PROGRAMS AND JOB CONTROL LANGUAGE**	**AC**		**AC**		**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.**		
2.1.008	**59**	**HARDWARE DOCUMENTATION**	**AC**		**AC**		**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.** **Documentation is superseded periodically by vendor. Latest version of documentation is maintained until successful migration to the new software or hardware environment.**		

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2.2	**COMPUTER CENTER**								
2.2.002	**62**	**COMPUTER UTILIZATION RECORDS**	**5**		**5**				
2.2.004	**63**	**COMPUTER JOB SCHEDULES AND REPORTS**	**3 MO.**		**3 MO.**				
2.2.011	**64**	**COMPUTER PRODUCED OUTPUT – DEPARTMENT WORK ORDER**	**AC**		**AC**		**AC = When reconciliation confirmed.**		
3.1	**EMPLOYMENT RECORDS: EMPLOYEE RECORDS**								
3.1	**65**	**INDIVIDUAL PERSONNEL FILES (MAINTAINED IN PERSONNEL OFFICE OF COMPONENT INSTITUTION)**	**AC+5**		**AC+5**		**AC = Termination of employment**		
3.1	**66**	**HUMAN RESOURCE SYSTEM (HRS) E-PRINT ELECTRONIC REPORTS**	**PM**		**PM**				
3.1.001	**67**	**APPLICATIONS OF EMPLOYEES 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.**	**2**		**2**		**29 CFR 1602.49(a)**		

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3.1.002	**68**	**APPLICATIONS FOR EMPLOYMENT - PERSONS 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**		**AC+5**		**AC = Termination of employment**		
3.1.002	**98**	**ACADEMIC AFFAIRS - FACULTY/LECTURER/ADJUNCT FILES**	**AC+5**		**AC+5**		**AC = After termination**		
3.1.002	**99**	**ACADEMIC AFFAIRS - FORMER EMPLOYEES (FACULTY) FILES**	**AC+5**		**AC+5**		**AC = After termination**		
3.1.002	**69**	**PEER ADVISER APPLICATION**	**AC+5**		**AC+5**		**AC = After termination of employee**		
3.1.011	**70**	**EMPLOYEE'S INSURANCE ENROLLMENT FORM(S)** **University copies of information relating to the selection by employees/retirees of life, disability, health, and other types of insurance offered by the UT System to its employees.**	**AC**		**AC**		**UTS Policy. AC = Until superseded or termination of employment.** **CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.**		
3.1.012	**71**	**EMPLOYMENT ADVERTISEMENTS**	**2**		**2**		**29 CFR 1602.49(a)**		
3.1.013	**71A**	**EMPLOYMENT CONTRACTS**	**AC+4**		**AC+4**		**AC= Expiration or termination of the contract according to its terms.** **Previously 800.007 - Contracts for student athletic coaches and administrators.**		

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3.1.014	**72**	**EMPLOYMENT SELECTIONS** **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.**	**2**		**2**		**29 CFR 1602.49(a)** **CAUTION: Does not include criminal history checks. SEE item number 3.1.026.**		
3.1.018	**72a**	**GRIEVANCE RECORDS**	**AC+2**		**AC+2**		**AC = Final decision on the grievance.** **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.**		
3.1.019	**73**	**PERFORMANCE APPRAISAL**	**AC+5**		**AC+5**		**29 CFR 1620.32(c) AC = Appraisal completed.**		
3.1.020	**74**	**PERSONNEL CORRECTIVE ACTION DOCUMENTATION**	**AC+5**		**AC+5**		**AC = Termination of corrective action.** **CAUTION: If, during the retention period of this record 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.**		
3.1.021	**75**	**PERSONNEL DISCIPLINARY ACTION DOCUMENTATION**	**AC+5**		**AC+5**		**AC = Termination of employment**		

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3.1.022	**77**	**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.** **EMPLOYEE ID CHANGE & RECORD DELETION**	**4**		**4**		**29 CFR 1602.49** **This includes changes to university identification number and social security number.**		
3.1.023	**78**	**POSITION/JOB DESCRIPTIONS**	**AC+4**		**AC+4**		**AC=Until superseded or job eliminated. 40TAC 815.106(l)**		
3.1.026	**79**	**SECURITY CLEARANCES**	**AC**		**AC**		**AC = End of probationary term of the individual's employment (Sec. 411.094(e), Government Code).**		
3.1.027	**80**	**TRAINING RECORDS**	**AC+5**		**AC+5**		**AC = After termination**		
3.1.029	**81**	**EMPLOYMENT ELIGIBILITY VERIFICATION**	**AC+1**		**AC+1**		**AC = After termination** **CAUTION: Federal regulation requires that INS I-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever is later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years from the date of hire are kept for the 3 year retention period. 8 CFR 274a.2(b)(2)(i)(A) and (c)(2).**		

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3.1	**81a**	**ELECTRONIC FILES TO STUDENT EXCHANGE VISITOR INFORMATION SYSTEM (SEVIS)**	**FE+5**		**FE+5**		**Files verifying that the J-1 visitor was here and met all program requirements.**		
3.1.031	**82**	**EMPLOYEE BENEFITS – OTHER THAN INSURANCE (e.g. OPTIONAL RETIREMENT)**	**AC+10**		**AC+10**		**AC = Until employment terminated. Open Records Decision 545, 3/20/90. Some records may be needed to provide verification to providers.** **CAUTION; Documents that serve as payroll deduction authorizations must be retained for the retention period prescribed for item number 3.2.001.**		
3.2	**PAYROLL**								
3.2	**84**	**AUTHORIZATION FOR PROFESSIONAL SERVICES**	**AC+6**		**AC+6**		**AC = Tax due date, date the claim is filed, or date tax is paid whichever is later**		
3.2.001	**85**	**EMPLOYEE DEDUCTION AUTHORIZATION| Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.**	**AC+6**		**AC+6**		**AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.**		
3.2.002	**86**	**EMPLOYEE EARNING RECORDS**	**4**		**4**		**40 TAC 815.106(i).**		
3.2.003	**87**	**ALIEN INFORMATION COLLECTION FORM**	**AC+6**		**AC+6**		**AC = Tax due date, date the claim is filed, or date tax is paid whichever is later**		
3.2.003	**88**	**EMPLOYEE/INDEPENDENT CONTRACTOR CHECKLIST**	**AC+6**		**AC+6**		**AC = Tax due date, date the claim is filed, or date tax is paid whichever is later**		

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3.2.003	**89**	**FEDERAL TAX RECORDS, (INCLUDES W2, FICA AND OTHER TAX RECORDS)**	**AC+4**		**AC+4**		**UTS Policy 26 CFR Sec.31.6001-1(e)(2) AC = Tax due date, date the claim is filed, or date tax is paid whichever is later**		
3.2.004	**90**	**INCOME ADJUSTMENT AUTHORIZATION Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.**	**2**		**2**		**29 CFR 516.6(C)**		
3.2.005	**91**	**W-4 FORMS EMPLOYER'S COPY OF "EMPLOYEE'S WITHHOLDING EXEMPTION CERTIFICATE"**	**AC+5**		**AC+5**		**AC = Until superseded, obsolete, or upon separation of the employee. 26 CFR 31.6001-1 (e)(2) and 26 CFR 31.6001-5**		
3.2.006	**92**	**PAY PLAN**	**2**		**2**		**29 CFR 516.6 (A) (2)**		
3.2.007	**93**	**UNEMPLOYMENT COMPENSATION**	**AC+5**		**AC+5**		**AC = Termination of benefit. Computer printout separates UCI earnings between state and local funding categories**		
3.2.008	**94**	**DIRECT DEPOSIT (OR MAIL DEPOSIT) APPLICATION/AUTHORIZATION**	**US**		**US**				
3.2.009	**95**	**STATE DEFERRED COMPENSATION**	**AC+5**		**AC+5**		**AC = 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.**		

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3.2.010	96	HRIS REPORTS AND DOCUMENTATION	AC+4		AC+4		AC = Transmitted and accepted by state HRIS system		
3.3	**PERSONNEL ADMINISTRATION**								
3.3	99a	REQUEST FOR APPROVAL OF OUTSIDE EMPLOYMENT	AC+2		AC+2		AC = End date of outside employment		
3.3	99b	SPECIAL FACULTY DEVELOPMENT LEAVE FILES	AC+5		AC+5		AC = After termination		
3.3	99c	FACULTY ENDOWMENTS	PM		PM				
3.3	99d	FACULTY START-UP FUNDING	AC+5		AC+5		AC = After termination		
3.3.001	100	AFFIRMATIVE ACTION PLANS	5		5		29 CFR 30.8(e).		
3.3.004	101	UT SYSTEM BENEFIT PLANS - WORKING COPY	US+5		US+5		29 CFR 1627.3(b)(2).		
3.3.011	102	PERSONNEL - PAYROLL MASTER FILE	AC+75		AC+75		AC = Termination of employment		
3.3.011	103	FORMER EMPLOYEE VERIFICATION RECORDS	AC+75		AC+75		AC = Termination of employment		
3.3.015	105	POSITION/ JOB CLASSIFICATION REVIEW FILE	US+3		US+3				
3.3.022	106	TEXAS WORKFORCE COMMISSION (TWC) REPORTS	3		3				
3.3.023	107	TRAVEL AUTHORIZATIONS	FE+3		FE+3		See Note 1.		

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3.3.024	**107a**	**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**		**US+3**				
3.3.026	**108**	**STAFFING RECORDS**	**US+3**		**US+3**		**Examples are: alpha employee listing, report of employees hired during month, Quarterly FTE Reports to State Auditor**		
3.3.031	**109**	**EEO REPORTS AND SUPPORTING DOCUMENTATION**	**3**		**3**		**29 CFR 1602.32, 1602.39, 1602.48, AND 1602.50.**		
3.4	**TIME AND LEAVE RECORDS**								
3.4.001	**112**	**ACCUMULATED LEAVE ADJUSTMENT REQUESTS**	**FE+3**		**FE+3**				
3.4.002	**113**	**LEAVE STATUS REPORT**	**FE+3**		**FE+3**				
3.4.004	**113a**	**OVERTIME AUTHORIZATONS**	**2**		**2**				
3.4.006	**114**	**TIME CARDS AND TIME ROSTERS**	**FE+4**		**FE+4**		**40 TAC 815.106(i)**		
3.4.007	**114a**	**TIME OFF AND/OR SICK LEAVE REQUESTS**	**FE+3**		**FE+3**				
3.4.008	**115**	**SICK LEAVE POOL DOCUMENTATION**	**FE+3**		**FE+3**		**Open Record except for medical records that may exist in file**		

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4.1		**FISCAL RECORDS: WORKSHEETS, DETAIL INFORMATION ON ECONOMIC EVENT OR TRANSACTION**							
4.1.001	**116a**	**ACCOUNTS PAYABLE INFORMATION**	**FE+3**		**FE+3**		**See Note 1.**		
4.1.002	**117**	**BILLING DETAIL**	**FE+3**		**FE+3**		**See Note 1.**		
4.1.002	**117a**	**COMET CASH DECLINING BALANCE ACCOUNTS**	**FE+3**		**FE+3**				
4.1.002	**117b**	**DATA ENTRY DOCUMENTS**	**FE+3**		**FE+3**				
4.1.003	**118**	**CANCELLED CHECKS**	**FE+3**		**FE+3**		**See Note 1.**		
4.1.003	**119**	**CHECK REGISTERS**	**FE+3**		**FE+3**		**See Note 1.**		
4.1.004	**120**	**ENCUMBRANCE DETAIL**	**FE+3**		**FE+3**		**See Note 1.**		
4.1.005	**121**	**INVENTORY AND OTHER COST FILES PRODUCTION, JOB LABOR, QUOTES, PRICING, SPECIFICATIONS, ETC.**	**FE+3**		**FE+3**		**See Note 1.**		
4.1.007	**123**	**BUDGET ADJUSTMENT FORM (BAF)**	**FE+3**		**FE+3**		**Budget change form**		
4.1.007	**122**	**TRANSMITTAL OF FUNDS/COST CENTER TRANSFERS**	**FE+3**		**FE+3**		**See Note 1.**		
4.1.008	**122a**	**ELECTRONIC FUND TRANSFERS** **Direct Deposit Registers**	**FE+3**		**FE+3**				

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			Agency	Storage	Total				
4.2		**DOCUMENTS OF ORIGINAL ENTRY**							
4.2	**123a**	**HUMAN RESOURCE SYSTEM (HRS) FORM – NEW POSITION REQUEST**	**FE+3**		**FE+3**				
4.2	**123b**	**HRS FORM – POSITION FUNDING CHANGE**	**FE+3**		**FE+3**				
4.2.001	**123d**	**CHECK DEPOSIT RECORD**	**FE+3**		**FE+3**		**See Note 1.**		
4.2.002	**124**	**CASH RECEIPTS**	**FE+3**		**FE+3**		**See Note 1.**		
4.2.003	**125**	**DAILY CASH RECEIPTS LOG**	**FE+3**		**FE+3**		**See Note 1.**		
4.2.003	**125a**	**MONTHLY BALANCING / COPY CENTER**	**FE+3**		**FE+3**				
4.2.003	**125b**	**CASH COUNTS / COPY CENTER**	**FE+3**		**FE+3**				
4.2.005	**126**	**PURCHASE ORDERS, PURCHASE VOUCHERS, RECEIVING REPORTS, REQUISITIONS, & BIDS**	**FE+3**		**FE+3**		**See Note 1.**		
4.2.006	**127**	**JOURNAL VOUCHERS (INCLUDING INTERDEPARTMENTAL TRANSFERS)**	**FE+3**		**FE+3**		**See Note 1.**		
4.2.007	**128**	**EMPLOYEE TRAVEL EXPENSES**	**FE+3**		**FE+3**		**See Note 1.**		
4.3		**JOURNALS OR REGISTERS**							
4.3.001	**129**	**SALES JOURNALS OR REGISTERS**	**FE+3**		**FE+3**		**See Note 1.**		

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4.3.002	130	RECEIPTS JOURNALS OR REGISTERS	FE+3		FE+3		See Note 1.		
4.3.003	131	EXPENDITURE JOURNALS OR REGISTERS	FE+3		FE+3		See Note 1.		
4.4	**LEDGERS**								
4.4.001	132	GENERAL LEDGER	10		10		See Note 1.		
4.4.002	133	ACCOUNTS RECEIVABLE LEDGERS	FE+3		FE+3		See Note 1.		
4.4.003	134	ACCOUNTS PAYABLE LEDGERS	FE+3		FE+3		See Note 1.		
4.4.004	135	EMPLOYEE SAVINGS BOND LEDGERS	FE+3		FE+3		See Note 1.		
4. 5	**REPORTS**								
4.5	135a	BUDGET INFORMATION SYSTEM (BIS) E-PRINT ELECTRONIC REPORTS	FE+3		FE+3				
4.5	135b	FINANCIAL REPORTING SYSTEM (FRS) E-PRINT ELECTRONIC REPORTS	FE+3		FE+3				
4.5.001	136	ANNUAL FINANCIAL REPORT WORKPAPERS (INCLUDING 13TH MONTH POST - CLOSING REPORT)	FE+5		FE+5		See Note 1.		

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4.5.001	**137**	**WORKSHEETS FOR PREPARING REPORTS**	**FE+3**		**FE+3**		**See Note 1.**		
4.5.002	**138**	**MONTHLY FINANCIAL REPORTS**	**FE+3**		**FE+3**		**See Note 1.**		
4.5.002	**139**	**INTERNAL MANAGEMENT REPORTS (INCLUDES REPORTS TO U.T. SYSTEM)**	**FE+3**		**FE+3**		**See Note 1.**		
4.5.003	**140**	**ANNUAL FINANCIAL REPORTS**	**AC+6**		**AC+6**	**I**	**AC = September 1 of odd-numbered calendar years.**		
4.5.005	**141**	**EXTERNAL REPORTS - SPECIAL PURPOSE - I.E. FEDERAL FINANCIAL REPORTS, SALARY REPORTS, ETC.**	**FE+3**		**FE+3**		**See Note 1.**		
4.5.006	**142**	**ANNUAL OPERATING BUDGET AGENCY MONTHLY BUDGET REPORTS**	**FE+3**		**FE+3**				
4.5.006	**142.001**	**BUDGET PRESENTATIONS**	**FE+3**		**FE+3**				
4.6	**DOCUMENTS SHOWING COMPLIANCE WITH SYSTEM OF INTERNAL CONTROL**								
4.6	**142a**	**COMPLIANCE PROGRAM FILES**	**FE+3**		**FE+3**				
4.6	**142c**	**GENERAL COMPLIANCE TRAINING RECORDS**	**US+5**		**US+5**				
4.6.001	**143**	**BALANCING RECORDS**	**FE+3**		**FE+3**		**See Note 1.**		

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4.6.002	143a	RECONCILIATIONS	FE+3		FE+3		See Note 1.		
4.6.003	144	CASH COUNTS	FE+3		FE+3		See Note 1.		
4.6.003	144a	PETTY CASH REIMBURSEMENT	FE+3		FE+3		See Note 1.		
4.7	**OTHER FISCAL RECORDS**								
4.7	145	ACCOUNT HISTORY FILES	AC+5		AC+5		AC = Closure of account See Note 1.		
4.7	146	BANK COLLATERAL RECORDS	FE+5		FE+5		See Note 1.		
4.7.001	29	ACCOUNTING POLICIES AND PROCEDURES MANUALS	US+3		US+3				
4.7.002	148	BANK AND APPROPRIATION STATEMENTS AND RECONCILIATION DATA	5		5		See Note 1.		
4.7.003	149	RETURNED CHECKS/WARRANTS/DRAFTS	AC+3		AC+3		See Note 1. AC = After deemed uncollectible.		
4.7.004	150	CAPITAL ASSET RECORDS	LA+3		LA+3		See Note 1.		
4.7.006	151	COMPTROLLER STATEMENTS	FE+3		FE+3		See Note 1.		

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4.7.007	**152**	**CHART OF ACCOUNTS (DETAILED)**	**FE+3**		**FE+3**		**See Note 1.**		
4.7.008	**153**	**TIME AND EFFORT REPORT / CONTRACT & GRANT CERTIFICATION**	**7**		**7**		**See Note 1.**		
4.7.008	**154**	**GRANT & CONTRACTS FILES**	**AC+5**		**AC+5**		**See Note 1. UTS Policy AC = 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 federal funding agency.**		
4.7.008	**155**	**INDIRECT COST CALCULATIONS**	**AC+7**		**AC+7**		**See Note 1. AC = Date rate issued by federal agency having oversight of our rate development.**		
4.7.010	**147**	**LONG TERM LIABILITY RECORDS -** BOND ISSUANCES AND DEBT SERVICE RECORDS	**AC+3**		**AC+3**		**See Note 1. AC = Retirement of debt**		
4.7.011	**156**	**TEXAS FACILITIES COMMISSION STATEMENTS (TFC)**	**FE+3**		**FE+3**		**See Note 1.**		
4.7.012	**156a**	**SIGNATURE AUTHORITY**	**US+FE+3**		**US+FE+3**				
5.1	**SUPPORT SERVICES RECORDS: GENERAL**								
5.1	**157**	**COURSE BOOK INFORMATION REQUEST**	**AC**	**2**	**AC+2**		**AC = After current semester**		

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5.1	**157a**	**REQUEST TO USE OUTSIDE CATERING SERVICES**	**FE+3**		**FE+3**				
5.1	**157b**	**SPECIAL EVENT RISK ASSESSMENT**	**AC+1**		**AC+1**		**AC = Completion of event.**		
5.1.001	**158**	**CONTRACTS & LEASES BI-LATERAL AGREEMENTS/CONTRACTS**	**AC+4**		**AC+4**		**AC = Expiration or termination of the instrument according to its terms**		
5.1.001	**159**	**CONTRACTS & LEASES EQUIPMENT LEASES**	**AC+4**		**AC+4**		**AC = Expiration or termination of the instrument according to its terms**		
5.1.001	**160**	**CONTRACTS & LEASES SPACE LEASES/PROPERTY LEASES**	**AC+4**		**AC+4**		**AC = Expiration or termination of the instrument according to its terms**		
5.1.001	**123c**	**CATERING CONTRACT / AUTHORIZATION FOR FOOD SERVICE**	**AC+4**		**AC+4**		**AC = Expiration or termination of the instrument according to its terms**		
5.1.003	**161**	**DELIVERY REPORTS - RECEIVING REPORTS**	**1**	**1**	**2**				
5.1.004	**162**	**ADDRESS AND TELEPHONE LISTING**	**US**		**US**				
5.1.004	**163**	**MAILING LISTS**	**US**		**US**				
5.1.005	**164**	**POSTAGE EXPENSE REPORTS**	**FE+3**		**FE+3**		**See Note 1.**		
5.1.005	**165**	**POSTAGE METER RECORDS**	**FE+3**		**FE+3**		**See Note 1.**		
5.1.007	**166**	**REQUISITION FOR COPY/PRINTING SERVICE IN-HOUSE**	**AV**		**AV**				

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5.1.007	167b	REQUISITION FOR COPY/PRINTING SERVICE	AV		AV				
5.1.011	167c	MONTHLY USAGE REPORTS / COPY CENTER	AV		AV				
5.1.012	168	PRICE LISTS	US+3		US+3				
5.1.013	169	INSURANCE POLICIES	AC+20		AC+20		AC = Expiration or termination of the policy according to its terms. UTS Policy. Includes Comprehensive Property Protection Program (CPPP).		
5.2	**FACILITY MANAGEMENT RECORDS**								
5.2	170	PHYSICAL PLANT MAINTENANCE RECORDS - OUTSIDE CONTRACTOR	5		5				
5.2	171	PHYSICAL PLANT MAINTENANCE RECORDS - IN-HOUSE CONTRACTOR	3		3				
5.2	172	SAFE COMBINATIONS MASTER FILE	LA		LA				
5.2	173	REPORTS - ADMINISTRATIVE - SERVICE CALLS	AC+2		AC+2		AC = Completion of service call		
5.2.002	174	BUILDING CONSTRUCTION PROJECT FILES	AC+11		AC+11	O	UTS Policy AC = Completion of Project		
5.2.003	175	BUILDING PLANS AND SPECIFICATIONS - OWNED	LA		LA	O			

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5.2.003	**175a**	**BUILDING PLANS AND SPECIFICATIONS - LEASED**	**AC+2**		**AC+2**		**AC = Cancellation or termination of lease**		
5.2.003	**176**	**BUILDINGS AND FACILITIES - MASTER PLANS**	**LA**		**LA**	**O**			
5.2.003	**177**	**PLANS & SPECIFICATIONS FOR NEW CONSTRUCTION RENOVATIONS, REHABILITATIONS, AND RESTORATIONS**	**LA**		**LA**	**O**			
5.2.008	**179**	**EQUIPMENT HISTORY FILE**	**LA+3**		**LA+3**				
5.2.009	**181**	**PROPERTY DELETION REQUESTS/TRANSFER NOTICES PA2 FORMS & PA3 FORMS**	**FE+3**		**FE+3**		**See Note 1.**		
5.2.010	**182**	**EQUIPMENT MANUALS**	**LA**		**LA**				
5.2.011	**183**	**EQUIPMENT WARRANTIES**	**AC+1**		**AC+1**		**AC = Termination of warranty**		
5.2.012	**184**	**ESTIMATE FILES (SUPPLY & REPAIR COST EST)**	**1**		**1**				
5.2.014	**185**	**ANNUAL INVENTORY EQUIPMENT & REAL PROPERTY**	**FE+3**		**FE+3**		**See Note 1.**		
5.2.017	**188**	**LOST/STOLEN PROPERTY REPORT**	**FE+3**		**FE+3**				
5.2.019	**189**	**SERVICE ORDERS**	**1**		**1**				
5.2.021	**191**	**SURPLUS PROPERTY SALE**	**FE+3**		**FE+3**		**See Note 1.**		
5.2.022	**192**	**UTILITY BILLING DETAIL**	**FE+4**		**FE+4**				

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5.2.026	193	FACILITIES RESERVATION LOGS	2		2				
5.2.026	194	LOCKER REGISTRATION	2		2				
5.2.027	195	SPACE UTILIZATION REPORTS	AV		AV				
5.2.028	196	BUILDING CONSTRUCTION CONTRACT & INSPECTION RECORDS	LA+10		LA+10	O			
5.3	**PURCHASING**								
5.3.002	197	FREIGHT BILLS PAID	FE	3	FE+3				
5.3.003	198	FREIGHT CLAIMS	AC+2	3	AC+2		AC = Resolution of claim		
5.3.004	199	ORDER - ACKNOWLEDGMENTS	AV		AV				
5.3.005	200	PACKING SLIPS	AV		AV				
5.3.007	201	BID DOCUMENTATION	FE+3		FE+3		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 5.1.001 and 5.2.028		
5.3.008	202	PURCHASING CARD LOG	FE+3		FE+3				

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5.3.008	**203**	**PURCHASING CARD CARDHOLDER ACTIVITY REPORT**	**FE+3**		**FE+3**				
5.4	**RISK MANAGEMENT**								
5.4	**204**	**POLICE OPERATIONS LOG**	**1**		**1**				
5.4	**211**	**ASBESTOS BUILDING SURVEYS**	**LA+30**		**LA+30**				
5.4	**212**	**ASBESTOS MONITORING**	**30**		**30**		**OSHA Standard 1926.1101 pert5 (n)(2)(iii)**		
5.4	**213**	**ASBESTOS SAMPLING RESULTS**	**LA+30**		**LA+30**				
5.4	**214**	**CHEMICAL INSPECTION REPORTS**	**30**		**30**				
5.4	**215**	**FIRE DRILLS LOG**	**FE+5**		**FE+5**				
5.4	**216**	**FIRE REPORTS**	**LA**		**LA**				
5.4	**218**	**FIRE MAINTENANCE REPORTS**	**CE+5**		**CE+5**				
5.4	**219**	**RADIATION TESTS AND MONITORING**	**3**		**3**		**10 CFR 20.2106 and 25 TAC 289.202**		
5.4	**220**	**RADIATION PURCHASE RECORDS**	**AC+5**		**AC+5**		**25 TAC 289.202 (tt)(2) AC = Termination of license.**		
5.4	**221**	**RADIATION DISPOSAL RECORDS**	**AC+5**		**AC+5**		**25 TAC 289.202 (tt)(2) AC = Until termination of license or certificate of registration.**		

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5.4.001	**205**	**SAFETY RECORDS - RECORDS OF EXPOSURE TO ASBESTOS, TREMOLITE, ANTHOPHYLLITE, ACTINOLITE, AND OTHER HAZARDOUS MATERIALS**	**30**		**30**		**29 CFR 1904.33.**		
5.4.001	**206**	**ACCIDENT REPORTS AND ASSOCIATED DOCUMENTATION**	**CE+5**		**CE+5**		**29 CFR 1904.33. The Department of Insurance retains copies of the reports submitted to it for 50 years.**		
5.4.001	**207**	**ACCIDENT REPORT - INDIVIDUAL**	**CE+5**		**CE+5**		**29 CFR 1904.6. Retain records longer if residual effects possible.**		
5.4.001	**208**	**WORKERS COMPENSATION REPORTS**	**CE+5**		**CE+5**		**29 CFR 1904.6**		
5.4.003	**209**	**INSPECTION RECORDS** **Fire, safety, and other inspection records of agency facilities and equipment. Includes, but is not limited to, testing records, fire alarm certificates (new buildings), and certification of asbestos-free building (new buildings).**	**AC+3**		**AC+3**		**AC = Inspection or date of the correction of the deficiency, if the inspection report reveals a deficiency.** **CAUTION: Does not include inspection reports of building construction. See item number 5.2.028**		
5.4.003	**210**	**SAFETY INSPECTIONS**	**AC+3**		**AC+3**		**AC = Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency.**		

Retention Codes *(Field 7)*				Archival Codes *(Field 8)*
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SLR 105

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2. Agency Code **738**

3. Agency Name **University of Texas at Dallas**

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			Agency	Storage	Total				
5.4.007	**222**	**HAZARDOUS MATERIALS TRAINING RECORDS** **Hazardous Materials Training and Certification Records. Records of training given employees in an agency hazard communications program. Includes radiation safety, chemical safety, and biological safety/blood borne pathogens.**	**US+5**		**US+5**		**Texas Health & Safety Code § 502.009(g)**		
5.4.008	**223**	**HAZARD COMMUNICATION PLANS**	**US+5**		**US+5**		**Texas Health & Safety Code § 502.009(g)**		
5.4.009	**224**	**CHEMICALS INVENTORY** **Includes Controlled Substance Drug Logs/DEA Forms/Chemical Inventories**	**30**		**30**		**Texas Health and Safety Code, 502.005(d).**		
5.4.009	**225**	**CHEMICAL TRANSFER RECORDS**	**LA+30**		**LA+30**				
5.4.009	**226**	**CHEMICAL RECYCLING RECORD**	**LA+30**		**LA+30**				
5.4.009	**227**	**CHEMICAL WASTE** **This series documents the receipt, shipment, and disposal of chemical material or hazardous wastes on campus. This series includes but is not limited to: chemical and waste inspection forms; drum packing sheets; Uniform Hazardous Waste Manifest forms (EPA 8700); Certificates of Disposal from vendors; land disposal notification forms; waste disposal records; and related documentation and correspondence.**	**30**		**30**				

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5.4.009	**229**	**NARCOTICS & PRECURSOR CHEMICALS (ALL RELATED RECORDS)**	**30**		**30**				
5.4.009	**230**	**WORKPLACE CHEMICAL LISTS** **Includes Controlled Substance Drug Logs/DEA Forms/Chemical Inventories**	**30**		**30**		**Texas Health and Safety Code, 502.005(d) and CFR 21 1304.04 (controlled substances).**		
5.4.010	**231**	**MATERIAL SAFETY DATA SHEETS**	**AC**		**AC**		**AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.**		
5.4.011	**231.001**	**VISITOR CONTROL REGISTERS** **Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.**	**3**		**3**				
5.4.012	**232**	**SECURITY ACCESS RECORDS** **Records relating to the issuance of keys, identification cards,, building passes, passwords, or similar instruments of access to agency facilities or equipment**	**AC+2**		**AC+2**		**AC = Until superseded, date of expiration or date of termination, whichever sooner.**		
5.4.013	**233**	**DISASTER PREPAREDNESS & RECOVERY PLANS including POLICE DISASTER RECOVERY PLAN**	**US**		**US**				
5.5	**TELECOMMUNICATIONS**								
5.5.001	**234**	**BILLING DETAIL – VENDORS**	**FE+3**		**FE+3**		**See Note 1.**		

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5.5.006	**235**	**BILLING DETAIL – TELEPHONE SERVICE REQUESTS**	**FE+3**		**FE+3**				
5.5.006	**236**	**LONG DISTANCE DETAIL (INTERNAL)**	**FE+3**		**FE+3**				
5.5.006	**237**	**LINE/EQUIPMENT CHARGE (INTERNAL)**	**FE+3**		**FE+3**				
5.5.007	**238**	**DISPUTED CALL DOCUMENTATION**	**FE+3**		**FE+3**				
5.6	**VEHICLES**								
5.6	**239**	**POLICE REPORTS - PARKING VIOLATION NOTICES**	**1**		**1**				
5.6	**243**	**VEHICLE REGISTRATION FOR PARKING**	**CE+1**	**2**	**CE+3**				
5.6.003	**239a**	**INSPECTION REPAIR AND MAINTENANCE RECORDS`**	**LA+1**		**LA+1**				
5.6.004	**240**	**MOTOR VEHICLE DRIVING RECORD (MVR)**	**AC**		**AC**		**AC = Until superseded or until termination of employment**		
5.6.005	**241**	**MILEAGE REPORTS**	**FE+3**		**FE+3**		**See Note 1.**		
5.6.005	**241.001**	**VEHICLE OPERATION LOG**	**FE+3**		**FE+3**				
5.6.007	**242**	**TITLES – VEHICLES**	**LA**		**LA**				

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	PATIENT RECORDS								
	300	PATIENT RECORDS - MEDICAL - ADULTS CALLIER CENTER FOR COMMUNICATION DISORDERS	AC+7		AC+7		AC = After last visit treatment by the physician (adults). 22 TAC 165.1		
	301	PATIENT RECORDS - MEDICAL - CHILDREN CALLIER CENTER FOR COMMUNICATION DISORDERS	AC+5		AC+5		AC = After child's 16th birthday microfilming is mandatory. 22 TAC 165.1		
	302	AZUSA TEST RECORDS	PM		PM		School of Behavioral and Brain Sciences publication.		
	POLICE RECORDS								
	400	EVIDENCE RECORDS	AV		AV				
	401	INCIDENT REPORTS – POLICE	AC		AC		AC = Statute of limitations. The retention period for incident reports is a minimum of 3 years per Local Schedule PS (Records of Public Safety Agencies).		
	403	PERSONNEL BACKGROUND INFORMATION FOR POLICE	3		3				
	404	POLICE CASE REPORTS	PM		PM				
	406	SECURITY SENSITIVE FORMS	AV		AV				
	407	COMPLAINTS AGAINST POLICE DEPARTMENT	FE+10		FE+10				

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			Agency	Storage	Total				
	408	**POLICE DEPARTMENT WARNING FORM**	**FE+5**		**FE+5**				
	409	**PATROL CAR / MOTORCYCLE CHECKLIST**	**FE+5**		**FE+5**				
	410	**MUNICIPAL CITATIONS**	**6 MO**		**6 MO**				
	411	**INTERNAL AFFAIRS INVESTIGATIONS**	**PM**		**PM**		**Records of investigation of law enforcement shooting incidents which result in death or injury to any person, including a police officer.**		
	411.001	**INTERNAL AFFAIRS INVESTIGATIONS**	**AC+15**		**15**		**Records of investigations that result in sustained formal discipline. The term "formal discipline" is disciplinary action at or above the level of a written reprimand. AC = Dated from the completion of the investigation**		
	411.002	**INTERNAL AFFAIRS INVESTIGATIONS**	**AC+5**		**AC+5**		**Records of investigations that result in sustained informal discipline or of investigations whose findings are inconclusive. The term "informal discipline" is disciplinary action below the level of a written reprimand. AC = Dated from the completion of the investigation. Provided a 1 year infraction free period precedes the date of destruction.**		
	411.003	**INTERNAL AFFAIRS INVESTIGATIONS**	**3**		**3**		**Records of investigations whose findings are not sustained, or in cases where accusations are determined to be unfounded or the accused is exonerated.**		

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	411.004	**INTERNAL AFFAIRS INVESTIGATIONS**	**AC+2**		**AC+2**		**AC = Determination not to initiate an internal affairs investigation.**		
	412	**FOUND PROPERTY LOG**	**AV**		**AV**				
	413	**RIDE-ALONG WAIVER OF LIABILITY**	**FE+3**		**FE+3**				
	414	**CAMPUS CRIME ALERT**	**PM**		**PM**				
	415	**RELEASE OF LIABILITY**	**FE+5**		**FE+5**				
	416	**UT SYSTEM POLICE MEMOS**	**FE+3**		**FE+3**				
	417	**CALL BOX DOCUMENTS**	**FE+10**		**FE+10**				
	STUDENT RECORDS								
	700	**ACADEMIC ACTION AUTHORIZATIONS (DISMISSAL, ETC.)**	**AC+5**		**AC+5**		**AC = After graduation or date of last attendance**		
	701	**ACADEMIC RECORDS (INCLUDING NARRATIVE EVALUATIONS, COMPETENCY ASSESSMENTS, ETC.) OF STUDENTS**	**PM**		**PM**	**I**			
	702	**ACCEPTANCE LETTERS FOR STUDENT APPLICANTS WHO ENTER**	**AC+5**		**AC+5**		**AC = After graduation or date of last attendance**		
	703	**ADVANCED PLACEMENT RECORDS FOR STUDENT APPLICANTS WHO ENTER**	**AC+5**		**AC+5**		**AC = After graduation or date of last attendance**		

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	704	**ADVANCED PLACEMENT RECORDS OF STUDENTS WHO DO NOT ENTER**	**AC+1**		**AC+1**		**AC = After application term**		
	705	**APPLICATION FOR ADMISSION OR READMISSION (REENTRY) OF STUDENTS**	**AC+5**		**AC+5**		**AC = After graduation or date of last attendance**		
	707	**APPLICATIONS FOR ADMISSIONS FOR APPLICANTS WHO DO NOT ENTER (FERPA APPLIES, BUT RECORD IS SUBJECT TO TEXAS OPEN RECORDS LAW)**	**AC+1**		**AC+1**		**AC = After application term**		
	708	**APPLICATIONS FOR GRADUATION - STUDENT RECORDS**	**AC+5**		**AC+5**		**AC = After graduation or date of last attendance**		
	711	**CHANGE OF COURSE (ADD/DROP) - STUDENT RECORDS**	**AC+1**		**AC+1**		**AC = After date submitted. Buckley Amendment, confidential record.**		
	712	**CHANGE OF GRADE FORMS (UPDATE DOCUMENTS)**	**PM**		**PM**	**I**	**Retention period based on AACRAO guidelines for change of grade forms.**		
	713	**CLASS LISTS (ORIGINAL GRADE SHEETS)**	**PM**		**PM**		**AC = End of term transaction occurred. Buckley Amendment, confidential record.**		
	714	**CLASS SCHEDULES (STUDENTS')**	**AC+1**		**AC+1**		**AC = One year After graduation or date of last attendance**		
	715	**COMMENCEMENT PROGRAMS**	**PM**		**PM**	**I**			

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			Agency	Storage	Total				
	716	**CORRESPONDENCE, RELEVANT FOR APPLICANTS WHO DO NOT ENTER**	**AC+2**		**AC+2**		**AC = After application term**		
	717	**CORRESPONDENCE, RELEVANT FOR STUDENT APPLICANTS WHO ENTER**	**AC+5**		**AC+5**		**AC = After graduation or date of last attendance**		
	718	**CORRESPONDENCE, RELEVANT - STUDENT RECORDS**	**AC+5**		**AC+5**		**AC = After graduation or date of last attendance**		
	719	**COURSE SYLLABI**	**AV**		**AV**				
	720	**CREDIT BY EXAMINATION FORMS, STUDENT RECORDS**	**AC+5**		**AC+5**		**AC = After graduation or date of last attendance**		
	721	**CREDIT/NO CREDIT APPROVALS - STUDENT RECORDS**	**AC+1**		**AC+1**		**AC = After date submitted**		
	722	**CURRICULUM CHANGE AUTHORIZATIONS**	**AC+5**		**AC+5**		**AC = After graduation or date of last attendance**		
	723	**DEGREE AUDIT REQUIREMENTS - STUDENT RECORDS**	**AC+5**		**AC+5**		**AC = After graduation or date of last attendance**		
	724	**DEGREE STATISTICS - STUDENT RECORDS**	**PM**		**PM**	**I**			

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	725	**DISCIPLINARY ACTION DOCUMENTS - STUDENTS (SEPARATE CONFIDENTIAL RECORD)**	**AC+5 or PM**		**AC+5 or PM**		**See Regents' Rules and Regulations 50101, Section 2 and UT Dallas Handbook of Operation Procedures, Chapter 49, section 49.18.** **Retention dependent on penalty assessed. Penalties of suspension, expulsion, denial or revocation of degree, and/or withdrawal of diploma are retained permanently.** **AC = After incident. Buckley Amendment, confidential record.**		
	726	**ENROLLMENT STATISTICS - STUDENTS**	**PM**		**PM**	**I**	**Retention period based on AACRAO guidelines for statistical reports.**		
	727	**ENROLLMENT VERIFICATIONS**	**AC+1**		**AC+1**		**AC = After verification**		
	728	**ENTRANCE EXAMINATION REPORTS (ACT, CEEB) FOR APPLICANTS WHO DO NOT ENTER**	**AC+1**		**AC+1**		**AC = After application term**		
	729	**ENTRANCE EXAMINATION REPORTS (ACT, CEEB) FOR STUDENT APPLICANTS WHO ENTER**	**AC+5**		**AC+5**		**AC = 5 years After graduation or date of last attendance**		
	730	**FERPA - DOCUMENTS (FAMILY EDUCATIONAL RIGHTS AND PRIVACY ACT)** **This series documents the process of student information release requests and consent authorizations or denials in accordance with the Family Educational Rights and Privacy Act. Records may include but are not limited to: requests for nondisclosure of directory information; records of disclosures made to third parties; written consent of the student to disclose records; and related documentation and correspondence.**	**AC+5**		**AC+5**		**See Note 3, Supplement Page 4** **AC = After accepted or rejected**		

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	731	**FERPA - DATA DOCUMENTS - REQUESTS FOR FORMAL HEARINGS - STUDENTS**	**AC**		**AC**		**AC = Life of affected record**		
	732	**FERPA – REQUEST AND DISCLOSURES OF PERSONALLY IDENTIFIABLE INFORMATION**	**AC**		**AC**		**See FERPA note from AACRAO** **AC = Life of affected record**		
	733	**FERPA - STUDENT STATEMENTS ON CONTENT OF RECORDS REGARDING HEARING PANEL DECISIONS**	**AC**		**AC**		**See FERPA note from AACRAO** **AC = Life of affected record**		
	734	**FERPA - STUDENT'S WRITTEN CONSENT FOR RECORDS DISCLOSURE**	**AC**		**AC**		**AC = Until terminated by the student or life of affected records**		
	735	**FERPA - WAIVERS FOR RIGHTS OF ACCESS**	**AC**		**AC**		**AC = Until terminated by the student or life of affected records**		
	736	**FERPA - WRITTEN DECISIONS OF HEARING PANELS**	**AC**		**AC**		**AC = Life of affected records**		
	737	**FINANCIAL AID ASSISTANCE RECORDS**	**AC+5**		**AC+5**		**AC = After graduation or date of last attendance**		
	737a	**AMERICAN SOUTHWEST CONFERENCE FINANCIAL AID REPORT**	**FE+5**		**FE+5**				
	738	**FINANCIAL AID DOCUMENTS - STUDENTS**	**AC+5**		**AC+5**		**AC = After annual audit has been accepted by U.S. Dept. of Education**		
	738.001	**FEDERAL AID PARTICIPATION AGREEMENT**	**AC+10**		**AC+10**		**AC = After graduation or date of last attendance**		

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	738.002	**EXEMPTIONS, STATE MANDATED AND CONTINUOUSLY APPLICABLE**	**AV**		**AV**		**E.g. Hazelwood, Blind and Deaf, Senior, Foster Care.**		
	738.003	**EXEMPTIONS, LIMITED BY SEMESTER OR ACADEMIC YEAR**	**AC+3**		**AC+3**		**AC = expiration of award.**		
	738.004	**FISCAL OPERATIONS REPORT AND APPLICATION TO PARTICIPATE (FISAP)**	**FE+1**		**FE+1**				
	738.005	**READY TO AWARD LIST**	**FE+1**		**FE+1**				
	739	**GRADE REPORTS (REGISTRAR'S COPY)**	**AC+1**		**AC+1**		**AC = After date distributed Buckley Amendment, confidential record.**		
	740	**GRADE STATISTICS - STUDENTS**	**PM**		**PM**	**I**			
	741	**GRADEBOOKS**	**AV**		**AV**				
	742	**GRADUATION AUTHORIZATIONS - STUDENT RECORDS**	**AC+5**		**AC+5**		**AC = After graduation or date of last attendance**		
	743	**GRADUATION LISTS/COMMENCEMENT RECORDS**	**PM**		**PM**		**This series documents commencement program planning and implementation at the institution. Records may include but are not limited to: commencement attendance forms; planning records created by commencement committees or other planning groups; and related documentation and correspondence. Includes commencement programs. Graduation lists may be exempt from public disclosure.**		

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	744	**HOLD OR ENCUMBRANCE AUTHORIZATIONS - STUDENT RECORDS**	**AC**		**AC**		**AC = Until released**		
	745	**LETTERS OF RECOMMENDATION FOR APPLICANTS WHO DO NOT ENTER WHETHER ACCEPTED OR REJECTED**	**AC+1**		**AC+1**		**AC = After application term**		
	746	**LETTERS OF RECOMMENDATION FOR STUDENT APPLICANTS WHO ENTER**	**AC**		**AC**		**AC = Until admitted**		
	747	**NAME CHANGE AUTHORIZATIONS - STUDENTS**	**AC+5**		**AC+5**		**AC = After graduation or date of last attendance**		
	748	**PASS/FAIL REQUESTS - STUDENTS**	**AC+1**		**AC+1**		**AC = End of term the transaction occurred. Buckley Amendment, confidential record.**		
	749	**PERSONAL DATA INFORMATION FORMS - STUDENT RECORDS**	**AC+1**		**AC+1**		**AC = After date submitted**		
	749.001	**STUDENT DOCUMENTATION OF ACCOMMODATION (STUDENT FILE)**	**AC+7**		**AC+7**		**AC = After graduation or date of last attendance**		
	749.002	**PROVISION FOR ALTERNATIVE TESTING FORMS**	**AC+3**		**AC+3**		**AC = After graduation or date of last attendance**		

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Archival Codes *(Field 8)*

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SLR 105

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2. Agency Code **738**

3. Agency Name **University of Texas at Dallas**

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	749.003	**TESTING LOGS**	**AC+3**		**AC+3**		**AC = After graduation or date of last attendance**		
	749.004	**INDIVIDUAL SERVICE PLANS**	**AC+7**		**AC+7**		**AC = After graduation or date of last attendance**		
	750	**PLACEMENT SCORES FOR STUDENT APPLICANTS WHO DO NOT ENTER WHETHER ACCEPTED OR REJECTED**	**AC+1**		**AC+1**		**AC = After application term**		
	751	**PLACEMENT SCORES FOR STUDENT APPLICANTS WHO ENTER**	**AC+5**		**AC+5**		**AC = After graduation or date of last attendance**		
	752	**RACIAL/ETHNIC STATISTICS - STUDENTS**	**PM**		**PM**	**I**			
	753	**READMISSION SCORES FOR STUDENT APPLICANTS WHO DO NOT ENTER WHETHER ACCEPTED OR REJECTED**	**AC+1**		**AC+1**		**AC = After application term**		
	754	**RECRUITMENT MATERIALS FOR STUDENT APPLICANTS WHO ENTER**	**AC**		**AC**		**AC = May dispose of materials after enrollment The federal legislation which governs these records is as follows: Veterans Administration regulations require that all recruitment materials be retained 3 years.**		

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	755	**RECRUITMENT MATERIALS TO APPLICANTS WHO DO NOT ENTER WHETHER ACCEPTED OR REJECTED**	**AC+1**		**AC+1**		**AC = After application term**		
	756	**REGISTRATION FORMS - STUDENTS**	**AC+1**		**AC+1**		**AC = After date submitted**		
	757	**RESIDENCY CLASSIFICATION FORMS FOR STUDENT APPLICANTS WHO ENTER**	**AC+5**		**AC+5**		**AC = 5 years After graduation or date of last attendance**		
	758	**SCHEDULE OF CLASSES (INSTITUTIONAL)**	**PM**		**PM**	**I**			
	759	**SOCIAL SECURITY CERTIFICATIONS (STUDENTS)**	**AC+1**		**AC+1**		**AC = After certification**		
	760	**STUDENT RECORDS - ADVANCED PLACEMENT RECORDS OF APPLICANTS WHO DO NOT ENTER**	**AC+1**		**AC+1**		**AC = After application term**		
	761	**STUDENT WAIVERS FOR RIGHTS OF ACCESS TO LETTERS OF RECOMMENDATION**	**AC**		**AC**		**AC = Until terminated**		

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	762	**TEST PAPERS AND EXAMS**	**AC+1**		**AC+1**		**Test Questions, Exams, Quizzes, Term Papers. Records may include but are not limited to: examinations and answers; quizzes and answers; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.** **AC = After semester test taken. Academic departments are not responsible for retaining copies of tests returned to students.**		
	763	**TEST SCORES FOR STUDENT APPLICANTS WHO DO NOT ENTER WHETHER ACCEPTED OR REJECTED**	**AC+1**		**AC+1**		**AC = After application term**		
	764	**TEST SCORES FOR STUDENT APPLICANTS WHO ENTER**	**AC+5**		**AC+5**		**AC = After graduation or date of last attendance**		
	765	**TRANSCRIPT REQUESTS (STUDENT)**	**AC+1**		**AC+1**		**AC = After date submitted**		
	766	**TRANSCRIPTS - HIGH SCHOOL FOR STUDENT APPLICANTS WHO DO NOT ENTER WHETHER ACCEPTED OR REJECTED**	**AC+1**		**AC+1**		**AC = After application term**		
	767	**TRANSCRIPTS - OTHER COLLEGES FOR STUDENT APPLICANTS WHO DO NOT ENTER WHETHER ACCEPTED OR REJECTED**	**AC+1**		**AC+1**		**AC = After application term**		

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	768	**TRANSCRIPTS FROM HIGH SCHOOL FOR STUDENT APPLICANTS WHO ENTER**	**AC+5**		**AC+5**		**AC = 5 years After graduation or date of last attendance.**		
	769	**TRANSCRIPTS FROM OTHER COLLEGES FOR STUDENT APPLICANTS WHO ENTER**	**AC+5**		**AC+5**		**AC = 5 years After graduation or date of last attendance**		
	770	**TRANSFER CREDIT EVALUATIONS -STUDENT RECORDS**	**AC+5**		**AC+5**		**AC = After graduation or date of last attendance.**		
	771	**TUITION AND FEE CHARGES**	**AC+5**		**AC+5**		**AC = After graduation or date of last attendance**		
	772	**VETERANS ADMINISTRATION CERTIFICATIONS (STUDENTS)**	**AC+3**		**AC+3**		**AC = After graduation or date of last attendance**		
	773	**WITHDRAWAL AUTHORIZATIONS (STUDENTS)**	**AC+2**		**AC+2**		**AC = After graduation or date of last attendance**		
	774	**STUDENT INFORMATION SYSTEM (SIS) E-PRINT ELECTRONIC REPORTS**	**PM**		**PM**				
	775	**APPLICATION / RENEWALS FOR ORGANIZATION REGISTRATION**	**1**	**2**	**3**				

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			Agency	Storage	Total				
	776	**IMMIGRATION SEMESTER AUDITS**	**PM**		**PM**				
	777	**EXPLANATION OF BENEFITS**	**AC+7**		**AC+7**		**AC = After graduation or date of last attendance**		
	778	**IMMIGRATION STUDENT FILE ON APPLICANT WHO ENTERS**	**AC+7**		**AC+7**		**AC = After graduation or date of last attendance** **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 visa; scholarship information; institution admissions forms; graduate school applications; transcripts of previous college work; grade reports of prior 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.**		
	779	**IMMIGRATION STUDENT FILE ON APPLICANT WHO DOES NOT ENTER**	**AC+1**		**AC+1**		**AC = Failure to enroll**		

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	780	**STUDENT HEALTH INSURANCE WAIVERS, LIST OF WAIVERS, SOS ENROLLMENT FORMS**	**AC+2**		**AC+2**		**AC = After graduation or date of last attendance. International Student Services Office maintained prior to FY 12. Health Center maintains effective FY 12.**		
	782	**HEALTH INSURANCE STUDENT FILES; COMPLAINTS / GRIEVANCES**	**AC+7**		**AC+7**		**AC = After graduation or date of last attendance**		
	783	**FRESHMAN HOUSING APPLICATIONS / CO-SIGNER APPLICATIONS**	**AC+1**		**AC+1**		**AC = After graduation or date of last attendance**		
	783.001	**STUDENT HOUSING RESIDENT FORMS**	**AC+2**		**AC+2**		**AC = After graduation or date of last attendance**		
	783.002	**RESIDENTAL LIFE PROGRAMS FILES**	**AC+2**		**AC+2**		**AC = After end of program**		
	783.003	**RESIDENTIAL LIFE PROGRAM RELEASE FORMS/WAIVERS**	**AC+7**		**AC+7**		**AC = After end of program**		
	783.004	**STUDENT HOUSING REPORTS**	**AC+7**		**AC+7**		**AC = After end of semester**		
	784	**CERTIFICATE OF ELIGIBILITY (TO LIVE ON CAMPUS)**	**AC+1**		**AC+1**		**AC = After date submitted**		

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			Agency	Storage	Total				
	785	**CLIENT PSYCHOLOGICAL FILES**	**AC+10**		**AC+10**		**AC = After graduation or date of last attendance.** **Client information, client consent forms and associated documentation. This records series may also contain counseling notes which are created during each patient session.**		
	786	**STUDENT / PATIENT MEDICAL RECORDS**	**AC+10**		**AC+10**		**AC = 10 years past the last date of service or until the patient is 21 yrs of age, whichever is longer. This is longer than the TX Dept of State Health Services (TDSHS) retention schedule agency item # 4662**		
	786.001	**UTD STUDENT HEALTH CENTER (SHC) DATA SHEET**	**AV**		**AV**				
	786.003	**PATIENT OFFICE VISIT INFO (SUPERBILL)**	**AC+10**		**AC+10**		**AC = After graduation or date of last attendance Will become part of Electronic Medical Record (EMR) effective 1/1/2013**		
	786.004	**MANDATORY TB TEST DOCUMENTATION FORM**	**AC+10**		**AC+10**		**AC = After graduation or date of last attendance Will become part of Electronic Medical Record (EMR) effective 1/1/2013. TDSHS item # 3880**		
	786.005	**INFLUENZA VACCINE INJECTION RELEASE**	**AC+1**		**AC+1**		**AC = Last date of service**		
	786.007	**COUNSELING LOG - LAB TAKE IN**	**AC+1**		**AC+1**		**AC = Last date of service**		

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			Agency	Storage	Total				
	786.008	**MENINGOCOCCAL VACINE INJECTION RECORD**	**AC+5**		**AC+5**		**AC = After graduation or date of last attendance Registrar's office maintains record of vaccination effective FY13.**		
	787.001	**GUEST WORKER FILES (PSYCHIATRISTS & PRACTICUM STUDENTS IN THE COUNSELING CENTER)**	**AC+5**		**AC+5**		**AC = End of internship or practicum.**		
	787.002	**CLINICAL SUPERVISION FILES**	**AC+10**		**AC+10**		**AC = End of internship or practicum.**		
	787.003	**COUNSELING CENTER TRAINEE FILES**	**AC+10**		**AC+10**		**AC = End of internship or practicum.**		
	788	**COMET CARDHOLDER'S PHOTOS**	**AC+1**		**AC+1**		**AC = After graduation or date of last attendance**		
	789	**COMET CARD REQUESTS (ALL CARDS ISSUED EXCEPT REGISTERED STUDENTS)**	**1**		**1**				

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	790	**PHOTO RELEASES (NON FERPA RELEASES)**	**AV**		**AV**				
	STUDENT LIFE, ORGANIZATIONS, ACTIVITIES								
	800	**STUDENT ATHLETE HANDBOOK**	**US**		**US**				
	800.001	**AMERICAN SOUTHWEST CONFERENCE (ASC) COMPLIANCE RECORDS**	**6**		**6**		**Medical hardships and transfer forms**		
	800.002	**NCAA (National Collegiate Athletic Association) COMPLIANCE RECORD**	**10**		**10**		**Includes Certification of Compliance Form, Student-Athlete Statement , Drug Testing Consent Form, Student-Athlete Affirmation**		
	800.003	**STUDENT ATHLETE COMPLIANCE AGREEMENT**	**FE+5**		**FE+5**				
	800.004	**STUDENT ATHLETE INDEMNIFICATION/ MEDICAL FORMS, INJURY REPORT AND MEDICAL RECORDS**	**AC+7**		**AC+7**				

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	800.005	**STUDENT ATHLETE TRAVEL SCHEDULES**	**FE+5**		**FE+5**				
	800.008	**PUBLIC RELATIONS RECORDS, NEWS, PRESS RELEASES AND SPORTS STATISTICS**	**PM**		**PM**		**Includes Team Rosters, photographs and sports statistics. Maintained by 3rd party.**		
	800.009	**NCAA PROVISIONAL COMPLIANCE REPORTS (INCLUDING INSTITUTIONAL SELF-STUDY AND THIRD YEAR PROVISIONAL REPORT**	**PM**		**PM**				
	800.010	**YEARLY REPORTS (INCLUDING EQUITY IN ATHLETICS DISCLOSURE ACT, GRADUATION RATES, AND US NEW S AND WORLD REPORT**	**PM**		**PM**				
	802	**CAREER CENTER EMPLOYER RECRUITING EVENTS**	**AC+2**		**AC+2**		**AC = Completion of event**		
	802.001	**CAREER CENTER JOB POSTINGS**	**AC+1**		**AC+1**		**AC = position filled or receipt of request to withdraw posting.**		
	803	**MULTICULTURAL CENTER PROGRAM FILES**	**AV**		**AV**				
	804	**STUDENT GOVERNMENT CANDIDATE APPLICATIONS**	**FE+2**		**FE+2**				

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	804.001	**STUDENT GOVERNMENT CAMPAIGN FLIERS**	**FE**		**FE**				
	804.002	**STUDENT GOVERNMENT MEMBERSHIP LISTS**	**PM**		**PM**				
	805	**STUDENT ORGANIZATION REGISTRATIONS**	**AC+5**		**AC+5**		**AC = After graduation or date of last attendance**		
	805.001	**CHEER SQUAD FILES**	**AC+5**		**AC+5**		**AC = After graduation or date of last attendance**		
	805.002	**STUDENT NEWSPAPER ADVERTISING AND BILLING ACCOUNTS**	**FE+5**		**FE+5**				
	805.003	**GREEK LIFE ELECTRONIC DATABASE**	**US**		**US**				
	805.004	**STUDENT LIFE CO-CURRICULAR TRANSCRIPT REQUESTS**	**FE+5**		**FE+5**				
	805.005	**MARQUEE REQUESTS**	**FE**		**FE**				

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	805.006	**STUDENT ORGANIZATION BANNER REQUESTS**	**AC+4**		**AC+4**		**AC = Removal of banner or completion of event.**		
	806	**STUDENT NEWSPAPER – RECORD COPY**	**AC + 2**		**AC + 2**	**I**	**AC = Publication date.. Copy retained in SU2.416**		
	807	**ORIENTATION REGISTRATION FILES**	**AC+1**		**AC+1**		**AC = After graduation or date of last attendance.**		
	807.001	**ORIENTATION PARTICIPANT RELEASE FORMS**	**PM**		**PM**		**AC = Completion of program or travel.**		
	808	**DEANS' STUDENT DISCIPLINE CERTIFICATIONS**	**AC+1**		**AC+1**		**AC = After graduation or date of last attendance.**		
	808.001	**DISCIPLINE LOG**	**PM**		**PM**				
	808.002	**WHO'S WHO RECOMMENDATIONS**	**AC+1**		**AC+1**		**AC = After graduation or date of last attendance.**		
	CALLIER CENTER DAY CARE								
	900	**CHILD ENROLLMENT**	**FE+4**		**FE+4**				
	901	**ACCREDITATION / LICENSING DOCUMENTATION**	**PM**		**PM**				

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	902	**TRACKING ROSTER**	**AC+ 7**		**AC+ 7**		**AC = Last day of attendance.**		
	903	**VOLUNTEER FILE**	**AC+5**		**AC+5**		**AC = Last day of participation.**		
	904	**NATIONAL SCHOOL BREAKFAST/ LUNCH RECORDS**	**FE+4**		**FE+4**				

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SUPPLEMENTAL

*** Whenever the recommended retention period is the "life of the affected record," the retention period of the FERPA document is meant to be the same as that of the student record to which it pertains: students' waivers of rights to access to letters of recommendation, for example, should be retained until terminated or the letters themselves are destroyed. If the retention period for a record to which a Family Educational Rights and Privacy Act (FERPA) document pertains is permanent, the FERPA document should also be permanently retained and microfilmed for added security.**

NOTES

NOTE 1. - The University of Texas at Dallas must insure that all audit requirements (both state and federal) have been fulfilled prior to final disposition.

STUDENT RECORDS – ADMISSIONS DATA/DOCUMENTS FOR APPLICANTS WHO DO NOT ENTER WHETHER ACCEPTED OR REJECTED

1. **Although the retention period recommended for the documents listed above is one year, federal legislation, state statutes, or institutional policy may dictate otherwise. The federal legislation which governs these records is as follows:**

   Veterans Administration regulations require that all recruitment materials be retained three years.

2. **Records for applicants who do not enter are not covered by FERPA.**

3. **Some documents from institutions in other countries may be originals and therefore difficult or impossible for the applicant to replace. The records custodian may want to return these documents to the applicant rather than destroying them.**

STUDENTS RECORDS – ADMISSIONS DATA/DOCUMENTS FOR APPLICANTS WHO ENTER

1. **The retention periods recommended are based on the following:**

    a. **The forms are maintained in individual student folders and are retained no longer than five years after graduation or date, term, or semester and year of last attendance.**

    b. **Uniform retention periods allow for the destruction of the entire folder which will save considerable sorting.**

    c. **Essential data will be recorded on academic records which are retained permanently.**

2. **Family Educational Rights and Privacy Act (FERPA) states that letters of recommendation not accompanied by waivers and retained beyond their intended use may be viewed by the student. As a consequence, it is recommended that these letters be destroyed after admission of the student. Waivers of rights of access filed with letters of recommendations should be retained as long as the file is retained. Students who revoke their waivers of rights of access may not see letters of recommendation during the time the waivers were in force.**

3. **The Veterans Administration (VA) regulations state that the following student records must be retained for at least three years after termination of enrollment:**

    a. **Previous education or training (transcripts from other colleges).**

    b. **Evidence of formal admission (acceptance letters). The regulations state that longer retention will not be required unless a written request is received from the General Accounting Office or the VA no later than 30 days prior to the end of the three-year period.**

4. **Educational institutions which participate in federal, state, and private programs of low-interest loans to students must retain student records of admission and placement for five years after graduation or withdrawal. In the event of**

5. **An open audit, records must be retained until all questions are resolved.**

6. **Some documents from institutions in other countries might be originals and therefore difficult for the applicant to replace. The records custodian may want to return these documents to the applicant rather than destroying them.**

STUDENT RECORDS – REGISTRATION AND RECORDS DATA/DOCUMENTS

1. **Any record recommended for permanent retention should be microfilmed for security even if the originals are retained. The original microfilm should be stored and secured in an off-site location.**

2. **The recommended five-year retention period noted in the schedule begins with the date of graduation or the date, term, or semester and year of last attendance.**

3. **The Family Educational Rights and Privacy Act (FERPA) specifically requires institutions to maintain records of requests and disclosures of personally identifiable information except for defined "directory information" and requests from students for their own records. The records of disclosures and requests for disclosures are considered part of the students' educational records; therefore, they must be retained as long as the educational records to which they refer are retained by the institution.**

4. **The Veterans Administration (VA) regulations state that the following records must be retained for at least three years after termination of enrollment:**

    a. **Grade reports and/or statements of progress (academic records)**
    b. **Change of course forms**
    c. **Transfer credit evaluations**
    d. **Degree audit records**

VA regulations require that all advertising, sales, and enrollment materials (e.g. catalogs and brochures) used by or on behalf of the institution be retained three years after the termination of a veteran's enrollment. In addition, records of tuition and fees charged to and collected from students, grade reports and statements of progress (academic records), and previous education and training documents (transfer credit evaluations) must be retained for three years.

5. **Educational institutions which participate in federal, state, and private programs of low-interest loans to students must retain for five years after graduation or withdrawal students' records of academic progress, attendance, and courses studied. In the event of an open audit, records must be retained until all questions are resolved.**

6. **Although student records created and maintained by medical and dental schools are usually narrative assessments of academic progress or clinical practice, for purposes of this retention schedule, such records are in the same category as the academic record.**

STUDENT RECORDS – REGISTRATION AND RECORDS DATA/DOCUMENTS, Continued

7. **The Immigration and Naturalization Service (INS) states that the school must keep a record used to comply with the reporting requirements for at least one year. Since many items included in foreign students' records are to be retained at least seven years, it is recommended that INS documentation also be retained seven years.**