



# THE RETENTION GUIDE

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**A HELPFUL GUIDE TO USING THE  
UT DALLAS RECORDS RETENTION SCHEDULE**

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**Records Management Office**  
UTD Environmental Health & Safety

Last Updated: FEBRUARY 2019



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## Section 1: Retention Schedule Introduction

### 1.1 Introduction

A **records retention schedule** is a document that identifies and describes a state agency's records and the lengths of time that each type of record must be retained. As a Texas state agency, the University of Texas at Dallas is required by law to submit and adhere to a records retention schedule administered by the Texas State Library and Archives Commission (TSLAC). Below is a page out of the UT Dallas Records Retention Schedule.

 <div style="text-align: center;"> <p>STATE OF TEXAS</p> <p><b>Records Retention Schedule</b></p> </div>							<p><b>SLR 105</b></p> <p><i>Form SLR 105C must accompany this form.</i></p>			
2. Agency Code <b>738</b>							3. Agency Name <b>University of Texas at Dallas</b>		1. Page 5 of 65	
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					
<b>1.1 ADMINISTRATION RECORDS: GENERAL</b>										
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)						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			
AV – Administrative Value			FE – Fiscal Year End		MO – Months	US – Until Superseded	O – Review by University Archivist			

Explained in Section 1.2

Explained in Section 1.3



## 1.2 Explanation of Fields

- **Records Series Item Number:** Numbers assigned by the State and Local Records Management Division of the Texas State Library and Archives Commission.
- **Agency Item Number:** Numbers assigned by the University's designated Records Management Officer.
- **Records Series Title:** General titles used to describe a record series. Explanations are provided for those titles which are not self-explanatory.
- **Retention Period:** The amount of time a records series must be retained before destruction or archival preservation. Retention is expressed in years unless otherwise noted.



**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.

This caution includes state records whose retention period expired during any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record.

- **Archival:** Those records series that must be transferred or evaluated for archival preservation.
- **Remarks:** This column contains further explanations of retention codes, citations to applicable federal or state laws or regulations, and/or other information regarding records retention requirements.

## 1.3 Explanation of Codes

- **AC - After Closed** (or terminated, completed, expired, or settled): The record is related to a function or activity with a finite closure date.
- **AV - As Long as Administratively Valuable:** The immediate purpose for which the record was created has been fulfilled and any subsequent need for the record to conduct the operations of the agency, if any, has been satisfied.
- **CE - Calendar Year End:** The end of the calendar year - December 31.
- **FE - Fiscal Year End:** The end of the UT Dallas fiscal year - August 31.
- **LA - Life of Asset:** The record is retained until the disposal of the asset.
- **MO - Months:** The retention period is expressed in months rather than years.
- **PM - Permanent:** A record that possesses enduring legal, fiscal, or administrative value and must be preserved permanently by the agency.



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- **US - Until Superseded:** The record is replaced by an updated version. If a record subject to this retention period is discontinued or is no longer required by law, the date of supersession is the date the decision to discontinue the record is made or the law takes effect. If the record relates to an employee, the date of supersession is the date of termination or the last date the record is needed with reference to the employee, as applicable.



## **Archival Codes**

**I** - The records must be transferred to the University Archives for long-term preservation.

**O** - The University Archivist must be contacted for an archival review of the records before disposition. Those records determined to be archival must be transferred to the University Archives for long-term preservation.

## **1.4 Explanation of Terms**

- **CFR - Code of Federal Regulations:** Regulations of federal agencies adopted under authority of laws enacted by the U. S. Congress.
- **Convenience Copy:** A duplicate copy of a record used for reference purposes. Also referred to as a "working" copy.
- **Record Copy:** The document which is kept on file as an original or official record for the total retention period. Distinct from a convenience copy.
- **Records Series:** A group of identical or related records with the same function and the same retention period that is evaluated as a unit for retention scheduling purposes.
- **State Publication:** Information in any format that is produced by the authority of or at the total or partial expense of a state agency or is required to be distributed under law by the agency, and is publicly distributed.
- **TAC - Texas Administrative Code:** Regulations of state agencies adopted under authority of laws enacted by the Texas Legislature.
- **Transitory Records:** 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 records series.
- **TSLAC - Texas State Library and Archives Commission:** The official library and archives of the state of Texas, tasked with preserving the archival record of Texas and assisting public agencies in the maintenance of their records.
- **Vital Records:** Those records that are essential to resume business or continue an organization, to recreate an agency's financial or legal position, or to preserve the rights of employees and citizens. Records series commonly regarded as vital have been so designated.



## Section 2: Record Types & Retention Period Breakdown

### 2.1 Record Types

Three types of records are listed on the UT Dallas Records Retention Schedule: **Time-Based**, **Event-Based**, and **Permanent**. Below is a description of each record type, their respective retention codes, and examples. For complete definitions of retention codes, please refer to [Section 1.3](#).



#### Time-Based Record

Disposition is determined by the **date the record was created**.

##### Related Retention Codes:

- **[None]** – Retention period ends *x years* after the last date of the record series.
- **FE/CE** – Retention period ends *x years* after the Fiscal/Calendar Year End of the last date of the record series.
- **MO** – Retention period ends *x months* after the last date of the record series.

##### Example:

**Record Series End Date:** January 1, 2016  
**Retention Period:** 3 MO

Your retention period ends **3 months** after the last date of the record series. Therefore, your records would be eligible for destruction after **April 1, 2016**.



#### Event-Based Record

Disposition is determined by an **event** that “triggers” the metaphorical retention clock to start ticking.

##### Related Retention Codes:

- **AC** – Retention period ends *x years* after the end of a function or activity with a finite closure date.
- **AV** – Retention period ends *on the date* the record is no longer administratively valuable to the University.
- **LA** – Retention period ends *on the date* the asset is disposed.
- **US** – Retention period ends *on the date* the record is replaced by an updated version, the decision/law takes effect, the date of termination, or the last date the record is needed with reference to the employee (as applicable).

##### Example:

**Record Series End Date:** January 1, 2016  
**Retention Period:** AC + 2 (AC = Termination of employment)  
**Last Date of Employment:** September 15, 2016

Your retention period ends **2 years** after the employee referenced in the records was terminated. Therefore, your records would be eligible for destruction after **September 15, 2018**.



#### Permanent Record

Disposition is **not possible**, as determined by Texas state legislation.

##### Related Retention Codes:

- **PM** – Destruction *never* occurs and the record must be preserved permanently by the agency.

##### Example:

**Record Series End Date:** January 1, 2016  
**Retention Period:** PM

Your retention period is **permanent**. Therefore, your records will never be eligible for destruction.



## 2.2 Retention Period Ranges

Many of our retention periods include an FE (Fiscal Year End) or CE (Calendar Year End) code. Below are the date ranges and the FE/CE for a given record series end date.

**UT Dallas Fiscal Year:** September 1<sup>st</sup> to August 31<sup>st</sup>

**Calendar Year:** January 1<sup>st</sup> to December 31<sup>st</sup>

Record Series End Date	Fiscal Year End Date
January 1 <sup>st</sup> – August 31 <sup>st</sup>	August 31 <sup>st</sup> of <i>Current Year</i>
September 1 <sup>st</sup> – December 31 <sup>st</sup>	August 31 <sup>st</sup> of <i>Next Year</i>

Record Series End Date	Calendar Year End Date
January 1 <sup>st</sup> – December 31 <sup>st</sup>	December 31 <sup>st</sup> of <i>Current Year</i>

Calculating the Fiscal Year End (FE) can often be more difficult than finding the Calendar Year End (CE). Below are some examples of finding an FE retention date for records you have in hand, as well as finding what FE records you can discard based on the current date.

### Calculating retention for a specific set of FE records

	Feb - Jul 2010 series	Feb - Nov 2010 series
Retention Period		
FE	August 31, 2010	August 31, 2011
FE + 1	August 31, 2011	August 31, 2012
FE + 2	August 31, 2012	August 31, 2013
FE + 3	August 31, 2013	August 31, 2014
FE + 4	August 31, 2014	August 31, 2015
FE + 5	August 31, 2015	August 31, 2016
FE + 6	August 31, 2016	August 31, 2017

1. If you have a retention period of FE + 5, your Feb - Jul 2010 series is eligible for destruction after August 31, 2015.
2. If you have a retention period of FE + 5, your Feb - Nov 2010 series is eligible for destruction after August 31, 2016.

### Calculating dates of FE records that have already reached retention

	Currently Jan 2019	Currently Oct 2019
Retention Period		
FE	August 31, 2019	August 31, 2020
FE + 1	Before August 31, 2017	Before August 31, 2018
FE + 2	Before August 31, 2016	Before August 31, 2017
FE + 3	Before August 31, 2015	Before August 31, 2016
FE + 4	Before August 31, 2014	Before August 31, 2015
FE + 5	Before August 31, 2013	Before August 31, 2014
FE + 6	Before August 31, 2012	Before August 31, 2013

1. If the date is Jan 1, 2019 and you want to dispose of a record with an FE + 5 retention period, the record series must have ended before August 31, 2013 to be eligible for destruction.
2. If the date is Oct 1, 2019 and you want to dispose of a record with an FE + 5 retention period, the record series must have ended before August 31, 2014 to be eligible for destruction.



## 2.3 How to Calculate



### Follow our steps below to calculate your record's retention period:

1. Review your records and decide what information the series consists of and the latest date of records in your series.
2. Find the retention period listed for your records in the Records Retention Schedule.
3. Determine the record type, as explained in [Section 2.1](#).
4. Add the amount of years (or months, if notated) listed in the retention period section of the Retention Schedule to the latest date of your record series or "triggering event", as determined by the record type. Note: Permanent Records cannot be destroyed.

Below is an example retention period calculation.

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			
	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.		

1. My records consist of student term papers, with the latest submission being **May 3, 2016**.
2. **Agency Item Number 762** on the Retention Schedule describes my records. The retention period listed for this series is **AC + 1**.
3. In the remarks column, **AC = After semester test taken**. My records are dependent on a "triggering event" (i.e., the end of the semester) before the retention period begins and are therefore Event-Based Records.
4. The semester for the latest term paper submitted ended on **May 9, 2016**. The AC retention code has been satisfied, so I will need to add one year to complete the **AC+1** period. My records will reach retention on May 9, 2016 + 1 year = **May 9, 2017** and are eligible for destruction on that date.





## Section 3: General Help

### 3.1 Frequently Asked Questions

➤ **How do I go about disposing of my records?**

If you have records that has reached retention, please complete the following steps to dispose of them:

1. Submit a [Records Disposal Request](#) to recordsmanagement@utdallas.edu.
2. Watch your email for the approved request, signed by the UT Dallas Records Management Officer.
3. If you don't have an office shredder in your area, contact the Records Management Office for a temporary secured shred bin. Our shred vendor comes to campus once a month and we are happy to coordinate the destruction of your records. We can also arrange to have a permanent shred bin added to your area.

➤ **Do I need to have approval to dispose of my records?**

Yes; we ask that all UT Dallas faculty/staff adhere to the disposal process above, including submitting Records Disposal Requests before destroying any records listed on the Retention Schedule.

➤ **Are there any records I DO NOT have to submit a Records Disposal Request in order to discard?**

Convenience Copies (also known as "working" copies) are the only records that do not require an RDR to be submitted before discard. Since these records are used only for reference/convenience, they are not considered an official record and do not need to be reviewed by us before discard.

➤ **I can't locate my record(s) on the Records Retention Schedule. What should I do?**

Please contact the Records Management Office with your record details. We can either help you find your record(s) on the schedule or submit an amendment to the Retention Schedule to have it added.

➤ **What do I do if I run out of storage space for my records that haven't reached retention?**

The Records Management Office is the custodian of UT Dallas' designated records storage facility. Please contact us if you're interested in having us store your records. Please note that once you elect us to become custodians of your records, we are required to follow the retention guidelines as determined by the University.